

**MEETING**

**BUDGET AND PERFORMANCE OVERVIEW AND SCRUTINY COMMITTEE**

**DATE AND TIME**

**TUESDAY 11<sup>TH</sup> JUNE, 2013**

**AT 7.00 PM**

**VENUE**

**HENDON TOWN HALL, THE BURROUGHS, NW4 4BG**

**TO: MEMBERS OF BUDGET AND PERFORMANCE OVERVIEW AND SCRUTINY  
COMMITTEE (Quorum 3)**

***COMMITTEE MEMBERSHIP TO BE APPOINTED AT ANNUAL  
COUNCIL ON 21 MAY 2013***

**You are requested to attend the above meeting for which an agenda is attached.**

**Andrew Nathan – Head of Governance**

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**ASSURANCE GROUP**

## ORDER OF BUSINESS

Item No	Title of Report	Pages
1.	Minutes of the Previous Meeting	
2.	Absence of Members	
3.	Declaration of Members' Interests a) Disclosable Pecuniary Interests and Non Pecuniary Interests b) Whipping Arrangements (in accordance with Overview and Scrutiny Procedure Rule 17)	
4.	Public Question Time (If any)	
5.	Members' Items (submitted in accordance with Overview and Scrutiny Procedure Rule 9) (If any)	
6.	Development and Regulatory Services: Recommendation for Preferred and Reserved Bidder and Full Business Case	1 - 276
7.	Budget and Performance Overview and Scrutiny Committee Forward Work Programme	277 - 284
8.	Any Other Items the Chairman Decides are Urgent	

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Meeting	Budget and Performance Overview and Scrutiny Committee
Date	11 June 2013
Subject	<b>Development and Regulatory Services: the recommendation for Preferred Bidder and Reserve Bidder as the councils Strategic Partner to form a Joint Venture to deliver the Development and Regulatory Services (DRS)</b>
Report of Summary	Scrutiny Office  Annex 1 provides the Budget and Performance Overview and Scrutiny Committee with the Cabinet report outlining the Full Business Case for DRS, the Equalities Impact Assessments and List of Principal Legislation affecting the DRS services

Officer Contributors	Andrew Charwood, Overview and Scrutiny Manager Pam Wharfe, Director for Place John Hooton, Deputy Chief Operating Officer Martin Cowie, DRS Service Lead Jason Walton, DRS Commercial Lead Charlotte Graham, DRS Project Manager Nick Faint, DRS Project Lead
Status (public or exempt)	Public (with separate exempt report)
Wards Affected	All
Key Decision	N/A
Reason for urgency / exemption from call-in	N/A
Function of	Committee

Enclosures

Annex 1: Report to the Cabinet on 24 June 2013,  
Development and Regulatory Services: the  
recommendation for Preferred Bidder and Reserve  
Bidder as the councils Strategic Partner to form a  
Joint Venture to deliver the Development and  
Regulatory Services (DRS)

Contact for Further  
Information:

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Tel: 0208 359 2014

## 1. RECOMMENDATIONS

- 1.1. That the Budget and Performance Overview & Scrutiny Committee make comments and recommendations to the Cabinet on the council's recommended selection of the Preferred Bidder and Reserve Bidder as the council's Strategic Partner to form a Joint Venture to deliver the Development and Regulatory Services (DRS) as set out in Annex 1 to this report.

## 2. RELEVANT PREVIOUS DECISIONS

- 2.1. One Barnet Overview and Scrutiny Panel, 10 February 2010, Decision Item 8 (Commissioning Development and Regulatory Services) – The Panel considered proposals for commissioning planning and regulatory services and made a number of comments and recommendations to the One Barnet Programme Board
- 2.2. One Barnet Overview and Scrutiny Panel, 21 September 2010, Decision Item 7 (Development and Public Health Services) – The Panel considered an Options Appraisal document which set out the methodology, rationale, approach, findings, recommendations and conclusions of the consultants on options for development and public health services. The Panel noted the report and made a number of comments.
- 2.3. One Barnet Overview and Scrutiny Panel, 10 November 2010, Decision Item 6 (Highlight Report) – The Panel received an update on the DRS procurement process.
- 2.4. One Barnet Overview and Scrutiny Panel, 23 March 2011, Decision Item 7 (Development and Regulatory Services Business Case) – The Panel scrutinised the report to Cabinet Resources Committee (28 March 2011) relating to the Business Case for Development and Regulatory Services and

RESOLVED that –

the Cabinet Resources Committee be requested to take into account the following comments/recommendations made by the One Barnet Overview and Scrutiny Panel in relation to the Development and Regulatory Services Business Case:

- (i) the Committee be requested to provide assurance the any contracts entered into as part of the One Barnet programme would be both robust and flexible to enable the authority to:
  - incorporate legislative changes, including additional responsibilities for local authorities as part of the Public Health agenda; and
  - minimise the risk of costly contract disputes arising during the term of the contract;
- (ii) the Committee be requested to prioritise commissioning work on Elected Member Governance in relation to One Barnet programme and involve the One Barnet Overview and Scrutiny Panel in this work;

- (iii) the Committee provide assurance that flexibility will be retained regarding the basket of services included in the bundle;
- (iv) ensure that the income projections contained within the Development and Regulatory Services Business Case are based on marginal savings, as referred to in the preamble above;
- (v) ensure that the allocation of baseline line and support service costs across the One Barnet Programme is undertaken with sufficient diligence to ensure costs are not over / under stated or double counted;
- (vi) the Committee note the concern of the Panel that the 10 year financial projections contained within the Development and Regulatory Services Business Case cannot be verified; and
- (vii) the Committee note that, in order to ensure best value is derived, contracts awarded for services that form part of the Development and Regulatory Services bundle will have to allow for variations to service requirements through contract variation procedures as on-going service transformation will be taking place prior to contracts being entered into.

2.5. Budget and Performance Overview and Scrutiny Committee, 6 December 2011, Decision Item 10 (Development and Regulatory Services: Business Case Update and Shortlist for Dialogue 2) – The Committee considered a report which provided an update on the DRS project and noted the content.

2.6. Special Budget and Performance Overview and Scrutiny Committee, 19 September 2012, Decision Item 8 (Members' Item – Development and Regulatory Services) – The Committee considered a Members' Item which requested clarification in relation to the Development and Regulatory Services (DRS) project and the possibility of utilising a Joint Venture Company as the delivery vehicle of the DRS contract.

The Committee received representations from the Leader and Deputy Leader. The Committee questioned whether a decision regarding utilising a Joint Venture Company for the DRS contract had already been taken as the Business Case had identified a Strategic Partnership as the preferred option. The Leader of the council clarified that he had not seen any documentation relating to the outcome of the DRS procurement process as officers were currently concluding the competitive dialogue process. He emphasised that no decision had been taken and all options would be considered on their own merit.

Members questioned whether the risks relating a joint venture had been captured in the One Barnet Risk Register and requested that this information be provided to the Committee.

Councillor Moore proposed that the Committee receive evidence from external experts on joint ventures and strategic partnerships at the special meeting taking place on 29 November 2012 to assist Members in scrutinising the DRS preferred option at the conclusion of the competitive dialogue process. The Chairmen advised Members that he would determine the resources that the Committee required to undertake its role effectively.



RESOLVED that:–

1. the Cabinet Resources Committee note the comments of the Committee, as set out above, in relation to the Development and Regulatory Services Project.
2. the Assistant Director Commercial Services provide the One Barnet Risk Register to members of the Committee.

### **3. CORPORATE PRIORITIES AND POLICY CONSIDERATIONS**

- 3.1. The Overview and Scrutiny Committees must ensure that the work of Scrutiny is reflective of the council's priorities.
- 3.2. The three priority outcomes set out in the 2013 – 2016 Corporate Plan are;
  - Promote responsible growth, development and success across the borough;
  - Support families and individuals that need it – promoting independence, learning and well-being; and
  - Improve the satisfaction of residents and businesses with the London Borough of Barnet as a place to live, work and study.
- 3.3. The One Barnet programme has three overarching aims:
  - A new relationship with citizens;
  - A one public sector approach; and
  - A relentless drive for efficiency
- 3.4. The manner in which Development and Regulatory Services supports these aims is described in Section 2 of the Full Business Case (included in Annex 1).

### **4. RISK MANAGEMENT ISSUES**

- 4.1. To enable the council's Overview and Scrutiny function to provide a constructive challenge to the executive, it is essential that the Committee have the opportunity to provide a robust, proportionate and timely challenge to the corporate change work streams as the committee progress through the council's decision-making framework. This can make a positive contribution to effective risk management.
- 4.2. Risk management considerations related to the Development and Regulatory Services Project are set out in the attached report in Annex 1.

## **5. EQUALITIES AND DIVERSITY ISSUES**

- 5.1. In addition to the Terms of Reference of the Committee, and in so far as relating to matters within its remit, the role of the Panel is to perform the Overview and Scrutiny role in relation to:
- The council's leadership role in relation to diversity and inclusiveness; and
  - The fulfilment of the council's duties as employer including recruitment and retention, personnel, pensions and payroll services, staff development, equalities and health and safety.
- 5.2. Equalities and diversity considerations as they relate to the Development and Regulatory Services project are set out in the attached report in Annex 1.

## **6. USE OF RESOURCES IMPLICATIONS (FINANCE, PROCUREMENT, PERFORMANCE & VALUE FOR MONEY, STAFFING, IT, PROPERTY, SUSTAINABILITY)**

- 6.1. As set out in the attached report in Annex 1.

## **7. LEGAL ISSUES**

- 7.1. Under Section 21 of the Local Government Act 2000, the council's executive arrangements are required to include provision for appointment of an Overview and Scrutiny Committee with specified powers, including the power to make reports or recommendations to the authority or the executive with respect to the discharge of any functions which are the responsibility of the executive.
- 7.2. Section 122 of the Local Government and Public Involvement in Health Act 2007 places a duty on the executive to respond to overview and scrutiny committees where the committee makes a report of recommendations to the executive.
- 7.3. Legal issues as they relate to the Development and Regulatory Services project are set out in Section 7 of the attached report in Annex 1.

## **8. CONSTITUTIONAL POWERS**

- 8.1. The scope of the Overview and Scrutiny Committees is contained within Part 2, Article 6 of the c's Constitution.
- 8.2. The Terms of Reference of the Overview and Scrutiny Committees is set out in the Overview and Scrutiny Procedure Rules (Part 4 of the Constitution). The Budget and Performance Overview and Scrutiny Committee has within its terms of reference the following responsibilities;

- To perform the overview and scrutiny role in relation to the One Barnet programme, particularly performance and financial issues;
- To receive and consider options appraisals, business cases and closure reports for the One Barnet projects;
- To monitor the implementation of One Barnet projects throughout the programme lifecycle; and
- To engage with partner organisations, other relevant public sector bodies, private sector organisations, trade unions, local residents or any other appropriate witnesses when fulfilling the overview and scrutiny role in relation to the One Barnet programme

## **9. BACKGROUND INFORMATION**

- 9.1. On 24 June 2013, Cabinet will consider the recommendation to nominate a preferred bidder for Development and Regulatory Services. In line with the responsibilities of the Committee outlined in Section 8.2 of this report, the Budget and Performance Overview and Scrutiny Committee is requested to consider the Full Business Case supporting this recommendation.
- 9.2. On the basis of that consideration, the Committee is requested to make comments, representations and recommendations to the Cabinet on the Development and Regulatory Services Final Business Case and Preferred Bidder as set out in Annex 1. These representations will be reported to and considered by the Cabinet at the 24 June 2013 meeting.

## **10. LIST OF BACKGROUND PAPERS**

- 10.1. None

<b>Cleared by Finance (Officer's initials)</b>	<b>JH</b>
<b>Cleared by Legal (Officer's initials)</b>	<b>Trowers &amp; Hamlin</b>

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Meeting	Cabinet
Date	24 June 2013
<b>Subject</b>	<b>Development and Regulatory Services (DRS): Selection of the Preferred and Reserved Bidder as the council’s Strategic Partner to form a Joint Venture to deliver the DRS Services</b>
Report of	<p>Cabinet Member for Resources and Performance</p> <p>Cabinet Member for Environment</p> <p>Cabinet Member for Housing</p> <p>Cabinet Member for Safety and Resident Engagement</p> <p>Cabinet Member for Customer Access and Partnerships; and</p> <p>Cabinet Member for Planning and Regulatory Services</p>
Summary	<p>Appendices A, B, C and D provide the Cabinet with the Full Business Case for the Development and Regulatory Services (DRS) along with the Equalities Impact Assessment and List of Principal Legislation affecting the DRS services</p>

Officer Contributors	<p>Pam Wharfe, Director for Place</p> <p>John Hooton, Deputy Chief Operating Officer</p> <p>Martin Cowie, DRS Service Lead</p> <p>Jason Walton, DRS Commercial Lead</p> <p>Suzanne Crouch, DRS Project Manager</p> <p>Nick Faint, DRS Project Manager</p>
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Status (public or exempt)	Public (with separate exempt report)
Wards Affected	All
Key Decision	Yes
Reason for urgency / exemption from call-in	N/A
Function of	Executive
Enclosures	Appendix 1 – Full Business Case Appendix 2 – Equalities Impact Assessment Appendix 3 – List of Principal Legislation Appendix 4 – Evaluation Report (exempt report)
Contact for Further Information:	Martin Cowie, DRS Project Director <a href="mailto:Martin.Cowie@barnet.gov.uk">Martin.Cowie@barnet.gov.uk</a> Tel: 020 8359 4514

## 1. RECOMMENDATIONS

- 1.1. That Cabinet note the outcome of the evaluation stage of the Development and Regulatory Services project and accept Capita Symonds' final tender (including subsequent clarifications) as the preferred bid, with reference to the Full Business Case (Appendix A), Equalities Impact Assessment (Appendix B), List of Principal Legislation (Appendix C) and Evaluation Scores (Appendix D exempt);
- 1.2. That Cabinet approve the recommended reserve bidder (including subsequent clarifications), as EC Harris;
- 1.3. That Cabinet delegate contract completion and signature (and ancillary documentation) finalisation and execution to the Section 151 Officer and, in the event of his absence, the Deputy Section 151 Officer;
- 1.4. That Cabinet approve the formation of a Joint Venture Company with Capita Symonds Ltd; and
- 1.5. That Cabinet approve the addition of £6.4m of investment to the capital programme.

## 2. RELEVANT PREVIOUS DECISIONS

- 2.1. Cabinet Resources Committee 14 December 2011 (Decision Item 5) – resolved that:
  - The Cabinet Resources Committee approve the recommended Development and Regulatory Services (DRS) shortlist of two bidders for stage 2 of the competitive dialogue process;
  - The recommended shortlist was: Capita Symonds Ltd and the EC Harris / FM Conway consortium. They achieved the highest two scores from the evaluation of the outline solutions provided at the end of the first stage of competitive dialogue; and
  - The updated Development and Regulatory Services Business Case be noted.
- 2.2. Cabinet Resources Committee 28 March 2011 (Decision Item 5) – resolved that:
  - that the Committee approve the Development and Regulatory Services business case, in order for the council to begin the competitive dialogue process, following the previously approved placing of the OJEU notice.
- 2.3. Cabinet, 10 January 2011 (Decision item 8) – following the referral back by the Business Management Overview and Scrutiny Committee on 16 December 2010, resolved that:
  - decision 7 taken by Cabinet on 29 November 2010 on Development and Regulatory Services be reaffirmed (as stated in 2.5 below).
- 2.4. Cabinet, 29 November 2010 (Decision item 6) – resolved that:
  - the One Barnet Programme Framework is approved; and
  - the funding strategy for One Barnet implementation costs, as set out in paragraph 6 of the Cabinet Member's report, is approved.
- 2.5. Cabinet, 29 November 2010 (Decision item 7) – resolved that:

- the Commercial Director be authorised to commence the procurement process to identify a strategic partner for the delivery of the Development and Regulatory Services project.

### **3. CORPORATE PRIORITIES AND POLICY CONSIDERATIONS**

- 3.1. The Corporate Plan 2013/16 has defined the following objectives:
- promote responsible growth, development and success across the borough.
  - Support families and individuals that need it – promoting independence, learning and well-being.
  - Improve the satisfaction of residents and businesses with the London Borough of Barnet as a place to live, work and study.

The DRS project supports the corporate plan aims by: protecting a good environment through maintaining all existing service standards in an era of significant financial reductions; and encouraging growth by introducing new technology, skills and commercial ideas to encourage and support sustainable growth in the borough.

Closer working with other service providers including Barnet Homes, the police and health authority in addition to the business sector and the community is key to the delivery of DRS as are accelerating the regeneration programme and encouraging healthier and independent lifestyles.

### **4. RISK MANAGEMENT ISSUES**

- 4.1. Severe resource constraint represents the most significant risk to the council achieving its strategic objectives. The Development and Regulatory Services Full Business Case demonstrates that by proceeding to contract signature and entering into a contract with the Preferred Bidder, the council will through the lifetime of the contract secure the savings it needs to meet the demands of the current Medium Term Financial Strategy and help to meet the challenge of additional cuts which will impact on local government for the rest of the decade whilst achieving significant operational and strategic benefits.
- 4.2. The risks to the council associated with entering into a contract with the Preferred Bidder, along with the contractual protections and other mitigations, are fully documented within section 6 of the Business Case, but are also listed in summary here:

<b>Risk Area</b>	<b>Causes</b>	<b>Control</b>
Financing	Insolvency	There are financial distress provisions in the contract and a parent company guarantee
	Change in ownership	There are restrictions in the contract on the types of organisation that are allowed to take on the contract, plus rights in the joint venture agreement



<b>Risk Area</b>	<b>Causes</b>	<b>Control</b>
	Inability to source investment capital	The preferred bidder has been financially vetted. Financial standing tests from Pre-Qualification Questionnaire stage were re-run, showing no material change. A parent company guarantee will be in place.
	Provider is unable to effectively manage its costs or secure sufficient income	The Company is required to top up any shortfall in guaranteed financial benefit. If it fails to then the council will reduce payments to the preferred bidder accordingly. A parent company guarantee will be in place.
Core Service Performance/ Availability	Inadequate specification	Extensive work and review was carried out on the specifications
	Inadequate design / Inadequate resourcing / Inadequate methods	Performance deductions can be applied as a result of key performance indicator failures. A rectification process, step-in or termination if severe.
Resilience	Force majeure event	A Business continuity plan has been developed and included in the contract.
	Inadequate business continuity arrangements	The provider is responsible for delivering the Service continuity. These are monitored through KPIs and the council has the right, where appropriate, to step-in where there is failure
	Inadequate transition arrangements	A Performance deduction can be applied as a result of key performance indicator failures.
	Inadequate exit arrangements	Provision has been made in the contract for an Exit Plan. CSL have an obligation to maintain this throughout the contract's life
Ongoing VFM of core service	Inflexible design	There are change provisions within the contract. Performance deductions can be applied as a result of key performance indicator failures.
	Change in council priorities/policies	There are change provisions within the contract.
	Provider does not remain at the forefront of developments	There will be benchmarking at three times throughout the contract plus annual service reviews
Volume / change in demand	Demographic Changes, or policy changes requiring focus on certain activities e.g. more Trading Standards inspections	Volume related payments have been agreed in the contract. Increased costs will be offset in some instances by increased income

<b>Risk Area</b>	<b>Causes</b>	<b>Control</b>
Joint venture	Joint venture has an increased risk of facing financial difficulties as it has lower capital reserves than the commercial partner	The joint venture agreement ensures that: a) The Preferred Bidder would fund the joint venture capital and business development costs; and b) The Preferred Bidder will provide a Parent Company Guarantee.
	Joint venture (JV) arrangement would transfer less risk to a partner than a standard contract.	The contract with the joint venture would contain the same performance and financial requirements and guarantees as a direct contract with the bidder.
	Primary bidders compete with joint venture (JV).	Included in the joint venture agreement is a clause which prevents competition within a pre-agreed geographical area for DRS services.
	Joint Venture raises unsustainable levels of debt	The Council has the right of veto on debt over the value of £1m.
Financial Probity	Lack of transparency in partnership finances	Open book accounting and audit rights are part of the contract. The council will also have a Director on the JV Board.
	Uncertainty over what is in or outside the core price	The Agreement specifically includes in price all items in output specifications within agreed volume parameters.
	Weak project commercials	The commercial elements have been developed during detailed and lengthy negotiations and have been reviewed by both internal and external specialists.
	Unilateral exploitation of intellectual property by partner	There is a position in the contract which is clear on ownership and exploitation of intellectual property rights between the parties. The council also has open book accounting and audit rights, plus rights as a joint venture company Director and shareholder
Non-delegable Statutory Functions	A number of statutory functions within the DRS cluster carry out non-delegable statutory functions	There are a number of functions within the DRS services that can only be performed by an Officer employed by the Authority. A joint employment contract between the employee, the council and the new provider will enable these elements to be performed post transfer to the new provider.

- 4.3. The mobilisation and transition phase that can commence as soon as the Alcatel (standstill) period has concluded must also be robust, and contract management arrangements need to be effectively structured and resourced to ensure that the benefits set out in the Business Case can be realised, and exceeded, throughout the

life of the relationship. These issues are addressed in more detail in section 9 and section 12 of the Full Business Case (Appendix A): 9 Project Approach and 12 Approach to Benefits Realisation and Contract Management.

## 5. EQUALITIES AND DIVERSITY ISSUES

- 5.1. Equality and diversity issues are a mandatory consideration in decision making in the council pursuant to the Equality Act 2010. This means the council and all other organisations acting on its behalf must have due regard to the equality duties when exercising a public function and such an obligation is on-going. The Equality Duty should be applied before a decision is made and be part of the decision-making process.

Section 149 of the Equality Act 2010 provides that: "(1) 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"
- (known as the Public Sector Equality Duty and for the purposes of this report henceforth referred to as the Equality Duty).

- 5.2. The "protected characteristics" are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation.
- 5.3. The Equality Duty applies to the council. In addition, Section 149(2) provides that "a person who is not a public authority but who exercises public functions must, in the exercise of those functions, have due regard to the matters mentioned in subsection (1)". Section 150(5) provides that "a public function is a function of a public nature for the purposes of the Human Rights Act 1998".
- 5.4. The Government has recently announced its intention to bring forward a review of the Equality Duty. Until there is any change in the law, the Equality Duty remains a basis for legal challenge to decisions by any public authority. The council recognises that the time and cost of dealing with litigation and the risk of decisions being quashed is not something that can be treated lightly.
- 5.5. Members should be aware of the special duties the council owes before they take these decisions. In making their decisions, members must accord due regard to all of the goals within the Equality Duty and in the context of the function which is being exercised.
- 5.6. Elected Members have been briefed on the Equality Duty and how equality considerations must be integrated into day to day business when formulating policies and decision-making. Members are mindful of the need to consider what impact, if any, a particular proposal will have on one or more protected groups, whether there will be any cumulative impact and what mitigating steps must be put in place. The council believes the duty has been exercised in substance with rigour and with an

open mind.

- 5.7. The Equality Duty has been and will continue to be considered at all stages of decision making on the Development and Regulatory Services project and subsequent contract management.
- 5.8. A key strategic objective for this procurement has been to secure a strategic partner who will enable a new relationship with citizens. This requires understanding citizens better in order to design and commission intelligently for their needs, finding ways to involve citizens more in service design and delivery, and better integrating local community groups into service delivery. This theme has featured strongly throughout the process, in the evaluation criteria and in both Final Tenders received.
- 5.9. The evaluation criteria for the Outline Solution, Detailed Solution and Final Tender stage included several criteria related to effective delivery against the public sector equality duty and have therefore influenced the content of dialogue and bidder proposals throughout the procurement process. These criteria were:
- Capturing financial, economic and social benefits of major regeneration projects and return to borough (8%)
  - High and measured customer satisfaction (7.5%)
  - Compliant, high quality service delivery (5.7%)
  - Effective consultation and engagement (4.6%)
  - Effective HR practices and professional development (4.6%)
- The exempt report contains the evaluation scores that Capita Symonds received on these criteria.
- 5.10. The pre-qualification stage of the procurement process included an evaluation of the applicants' procedures for equalities and diversity to ensure that they were in accordance with equalities legislation.
- 5.11. The council has undertaken thorough equalities impact assessments identification of the impact on employees with protected characteristics who work for the eleven services in scope, and external customers with protected characteristics served by these services which all have public-facing responsibilities.
- 5.12. The Employee Equalities Impact Assessment has been updated at key milestones throughout the procurement process.
- 5.13. These assessments demonstrate that Capita Symonds has committed, as documented in its Final Tender, to continue those aspects of good equalities practice already undertaken by the council, but also that Capita Symonds will enhance existing practice in a number of ways.
- 5.14. Significant changes that Capita Symonds intends to make to service design and delivery, which have been assessed for their impact on customers with protected characteristics include:
- introducing a number of service improvements that will enable better data about customers to be collected, analysed, and shared so that services can be better designed and targeted to customers.
  - training staff on equalities which will help support more appropriate service delivery methods

- greater use of automated and web self-service channels and social media may negatively affect certain groups with protected characteristics. These would include older people who might not be IT literate, disabled people who cannot use a computer/phone, and people whose first language is not English.

For all of these changes, there are mitigations in the form of commitments that Capita Symonds has made to ensure that customers receive a high quality service and to avoid detrimental impacts on individuals with protected characteristics. For example, Capita Symonds has committed to introduce multi-channelled delivery and the ability to bundle services in ways that relate to customer need and put that at the heart of service delivery. Capita Symonds has also committed to retaining activities or measures currently undertaken by the services which promote the public sector equalities duty.

Having considered these issues in detail, it is the council's view that the overall impact on all groups with protected characteristics in the borough in terms of their access to and use of these services, the council's ability to tackle discrimination and advance equality of opportunity, is likely to be neutral with a potential to be positive in time. There is also likely to be a neutral impact on good relations between those sharing and those not sharing protected characteristics. However, these assessments will be kept under review throughout the mobilisation and contract period.

- 5.15. Significant changes that Capita Symonds intends to make to staffing, which have been assessed for their impact on staff with protected characteristics include:
  - redundancy
  - new structures
  - new working practices
- 5.16. For all of these changes, there are mitigations in the form of commitments that Capita Symonds has made to ensure that staff are treated fairly, including:
  - full transition communication and engagement plan to integrate staff into new organisation quickly and effectively
  - minimising the impact of redundancy through growth into other partner organisations, redeployment throughout other Capita Symonds businesses, managing vacancies, temporary staff and through natural shrinkage
  - occupational Health and Employee Assistance Programme
  - comprehensive training and development opportunities
  - undertaking a staff satisfaction survey within 6 months of the Service Transfer Date and annually thereafter, and putting in place a remediation plan with the staff forum to address issues identified where satisfaction decreases by more than 5%
- 5.17. The contract requires Capita Symonds to observe equalities legislation and the council's own equalities policy requirements.
- 5.18. Throughout the life of the contract, all service change proposals from Capita Symonds will need to be properly considered to ensure that due regard has been given to the Equality Duty, including appropriate publicity and consultation and equalities impact assessments, prior to any changes being implemented, with the results informing council approval and any subsequent decision whether to put them into effect or not.

The council intends to monitor the delivery of the services during the transition to "go live" and following "go live" with its partner in order to continue to satisfy its Equality Duty.

The council will maintain proper supervision over its partner to ensure that it does comply with the Equality Duty. There are already numerous contract provisions, including reporting, monitoring, intervention and assistance to ensure that this takes place.

- 5.19. In addition, whilst the council recognises that its compliance with the Equality Duty cannot itself be outsourced or delegated, the partner is required by the contract to produce an annual report on its performance in delivering against the contract equalities clauses. As part of its contract monitoring arrangements, the council will rigorously monitor the partner's adherence to equalities requirements and commitments.
- 5.20. Should the scenario arise in which the council may wish to proceed with EC Harris as its Preferred Bidder (for example in the event of Capita Symonds withdrawing) then EC Harris' Final Tender would be subject to a full EIA prior to the decision to proceed.
- 5.21. The full equalities impact assessments can be found in Appendix B.

## 6. USE OF RESOURCES IMPLICATIONS (FINANCE, PROCUREMENT, PERFORMANCE & VALUE FOR MONEY, STAFFING, IT, PROPERTY, SUSTAINABILITY)

### Finance

- 6.1. The baseline budget for the services in scope for Development and Regulatory Services is £14.5m (expenditure). £0.3m is allocated to retained client functions, leaving a baseline of **£14.2m** attributable to the DRS contract. This is set out in the table below:

Expenditure baseline	£m
Baseline for in scope services	14.5
Retained client	(0.3)
DRS baseline	14.2

- 6.2. The services in scope for Development and Regulatory Services include income budgets totalling £9.7m per annum. Income growth is key to Capita Symonds' bid. The offer commits to net income growth of 34% over the contract term (£97m to £130m).
- 6.3. The Medium Term Financial Strategy (MTFS) agreed by the council in March 2012 included savings attributable to DRS totalling £2.78m per annum. This reflected the prudent estimate of benefits from the DRS business case. Since that point, Cabinet on 25 February 2013 set out additional savings requirements of £0.4m for DRS for the years 2014/15 and 2015/16, reflecting the likely further cuts to public expenditure that will follow from the existing 2010 spending review settlement. So when taken together,

the total savings requirement for DRS over the period 2013 to 2016 is £3.18m.

- 6.4. The guaranteed financial benefits arising from the Preferred Bidder recommendation include savings on the core transferring services (reduction in expenditure and increases in income). These financial benefits are as follows:

<b>Guaranteed savings (cumulative)</b>	<b>2013/14 (£m)</b>	<b>2014/15 (£m)</b>	<b>Contract term Total (£m)</b>
December 2011 savings target on core transferring services	1.53	2.78	26.5
Capita Symonds guaranteed savings	1.54	2.80	39.1
<b>Target exceeded by:</b>	<b>0.01</b>	<b>0.02</b>	<b>12.6</b>

- 6.5. The table above demonstrates that the original savings target derived from the Outline Business Case (£26.5m) has been exceeded in Capita Symonds' offer by £12.6m and that the target for 2013/14 and 2014/15 as per the existing council budget is also met.
- 6.6. The additional savings target included in the Cabinet report of 25 February 2013 relating to DRS amounts to a further £0.4m saving required by 2015/16, i.e. £3.18m. Capita Symonds' offer includes guaranteed savings of £4.06m by 2015/16, exceeding the target by £0.88m.
- 6.7. The savings on core services as set out above (£39.1m over 10 years) exceeds both the current MTFS target and the additional MTFS targets out for consultation. Any additional savings to the council both through guaranteed financial benefit over and above the target and further commercial development will not be directly factored into the MTFS at this stage, but if realised will help the council to meet their additional savings targets beyond 2015.
- 6.8. The key proposals from the Preferred Bidder are outlined in the Full Business Case (Appendix A) and the evaluation scores are shown in the Exempt Report.

### **Procurement**

- 6.9. The council has undertaken a competitive dialogue process as outlined in Section 7 of this report.
- 6.10. The detail of the evaluation process is articulated in Appendix D;

### **Staffing**

- 6.11. The council has obligations to its staff both under the Transfer of Undertakings (Protection of Employment) Regulations (TUPE) and the council's additional TUPE Transfer Commitments which it made to staff through its recognised Trade Unions.
- 6.12. The council will fulfil its TUPE duties to inform and consult staff through tripartite meetings between the council, the new partner and the Trade Unions, which will begin post Alcatel. In addition to the statutory processes, these tripartite meetings will

manage the implementation of the TUPE Transfer Commitments.

- 6.13. Permission to implement the TUPE transfer of staff from the council to the Joint Venture will be sought from the General Functions Committee.
- 6.14. The pensions implications will be put to the Pension Fund Committee Post Alcatel with a recommendation for the new partner to receive Admitted Body Status to the London Borough of Barnet Local Government Pensions Scheme. This request will be supported by a pension bond and admissions agreement.
- 6.15. Details of FTE reductions are contained within the Full Business Case (Appendix A), and are based on data provided to bidders in July 2012. Updated figures will be provided to the new partner at the start and the end of the mobilisation period.
- 6.16. Details of the employee equalities impact assessment are summarised above in section 5, and in full detail in Appendix B.
- 6.17. During the scoping of the Development and Regulatory Services (DRS) project and exploration of options it was acknowledged that there were a number of statutory duties and powers that were non-delegable under the relevant service specific legislation.
- 6.18. Throughout the competitive dialogue process the statutory functions were discussed with bidders and the council decided to consider the option of joint employment. The employees identified as providing non delegable statutory functions will be working under joint employment contracts with the council and the new JV in order to continue to provide the non-delegable statutory duties.

### **Pre-Mobilisation Period**

- 6.19. The council has provided support to managers and staff throughout the procurement period through the provision of workshops covering the TUPE process, and the personal change process ('Change and Me'). In the period up to June 2013 the council has put the following arrangements in place to support staff:

#### Emotional support

- Counselling
- Employee Assistance Programme – Workplace Options – available 24/7
- Change and Me workshops

#### Practical Support

- Line manager and employee 1-1s with a template to collect issues and concerns. These will be held centrally and passed onto the Preferred Bidder when they arrive on site.
- TUPE Answers 1-1, run by HR, 2 hours every day
- Single intranet page under DRS (Development and Regulatory Services) for all support matters, with TUPE FAQs reviewed weekly
- Email address for comments and concerns: [employee.support@barnet.gov.uk](mailto:employee.support@barnet.gov.uk)



### **Mobilisation of the Contract**

- 6.20. The council has a full staff mobilisation plan to ensure that all of the TUPE obligations with regard to informing and consulting are properly discharged.
- 6.21. Post Alcatel the council will start working with the Preferred Bidder to merge plans, agree key milestones, and implement the staff mobilisation and transition plan set out in their Final Tender.
- 6.22. An important part of mobilisation is the release of staff from their duties to attend informative briefings, induction's, one-to-one meetings, and pre-contract training on new systems and processes, so that they can start to understand the culture and working processes of their new employer. The council recognises that release at the early stages of mobilisation will contribute to a smooth transfer of staff, and the process will be managed to ensure minimum disruption to the services supporting the council and the residents of Barnet.

### **Performance and Value for Money**

- 6.23. Capita Symonds has committed 10% of its annual core services fee to the achievement of Key Performance Indicator (KPI) targets. This means that fee deductions can be made by the council up to this level if performance targets are not hit. The basket of KPIs covers all eleven service areas in scope, as well policy adherence and a number of 'Super KPIs' covering overarching objectives.
- 6.24. Capita Symonds has committed to report performance against both KPI targets on a monthly basis (noting that some KPIs have a less frequent reporting cycle) and in addition a broader set of Performance Indicator (PI) targets (which have no direct impact on payment but can be escalated to be KPIs on repeated failure).
- 6.25. The council can require that new KPIs or PIs are introduced and current ones are reprioritised. If the council wishes to make targets more ambitious, it can use the change mechanism within the contract to facilitate this, where Capita Symonds is obliged to provide options to the council to consider.
- 6.26. In years 4 and 7 respectively, the partnership will commission external benchmarking of the services linked to a more fundamental service review. The results of this will inform a partner requirement to develop options and an implementation plan for reducing cost and/or developing services further in line with the council's strategic objectives at the time. This can extend to an obligation for the partner to conduct an external market testing exercise. In addition to the year 4 and 7 benchmarking the council can, after year 2, request one further benchmarking of each service.

### **Sustainability**

- 6.27. The council's contract has a sustainability clause, requiring (amongst other things) that the partner supports the council in meeting its environmental targets and obligations, and adherence to a written environmental management strategy setting targets for carbon emissions, water usage, increased recycling rates and procuring

sustainability and sustainable transport usage.

- 6.28. Capita Symonds sets out significant investment proposals to stimulate and drive forward borough-wide growth, enterprise and renewal, by:
- forming a joint venture with the skills, capacity and leadership to co-ordinate the delivery of local services, focus on areas of need and achieve better outcomes for residents. As part of this, Capita Symonds will invest £250,000 in a Barnet Observatory to understand social and economic trends and use this to best meet local needs
  - offering new business support and advisory services to help local traders, give support to local town centre forums, and leading initiatives to reduce the number of vacant high street properties across compared to other comparables boroughs
  - finding new ways to secure funding, including setting an overarching performance measure to increase the success of Barnet in winning Central Government funding
  - maximising the financial and economic benefits of new developments including increase receipts of New Homes Bonus, Community Infrastructure Levy, Business Rate report to fuel re-investment and deliver key infrastructure
- 6.29. In addition, Capita Symonds have expressed an intention to use Barnet as the base for the provision of development and regulatory services and using Barnet as the base to grow business in the wider region.

## **7. LEGAL ISSUES**

- 7.1. The council has been advised throughout this procurement by its external legal advisers Trowers & Hamlins LLP and, in relation to authority policies, authority policy clauses within the contract, property and third party contracts that will novate, by its in-house legal services department.
- 7.2. In accordance with the provisions of Regulation 18 of the Public Contracts Regulations 2006 (the Regulations), the council has undertaken a thorough competitive dialogue with bidders for the DRS contract. The project team and project advisers have undertaken detailed negotiation of all elements of the Partnering Agreement clauses and schedules, including the financial and technical schedules, with the goal of obtaining the most economically advantageous proposals for the provision of the DRS services.
- 7.3. The competitive dialogue procedure concluded with the receipt of final tender submissions from EC Harris and Capita Symonds on 2 January 2013. Council officers and project advisers have undertaken a thorough evaluation of the submissions in accordance with the published evaluation criteria.
- 7.4. At Preferred Bidder stage, the Regulations state that the council may only request the bidder to clarify or confirm commitments contained in the final tender but further detailed negotiation is no longer permitted.
- 7.5. The services to be included within the DRS contract include statutory functions under a wide range of legislation set out in Appendix C of this report.

- 7.6. The council has established legal powers to enter into a contract with an external service provider to deliver these services by virtue of Section 1 of the Local Government (Contracts) Act 1997, its duty to secure economy, efficiency and effectiveness in the provision of its services under section 3 of the Local Government Act 1999 ("best value"), its general power of competence under section 1 of the Localism Act 2011, section 111 of the Local Government Act 1972 and the powers contained within the Principal Legislation List in Appendix C to this report. The council also has the power under the Localism Act 2011 to enter into the joint venture agreement.
- 7.7. Upon confirming all outstanding elements of the Preferred Bidder's proposals, and approval of the Preferred Bidder recommendation, the council will enter into a Partnering Agreement with the Preferred Bidder for a 10 year period for the provision of the DRS services. The parties will also have an option to extend the contract term by a period of up to an additional five years.
- 7.8. The contract contains detailed provisions to enable the council to monitor the quality of the services, and the partner will be incentivised under a payment and performance mechanism to deliver to the standards set out in the detailed output specifications for every service and through KPIs during the contract period and any period of extension.
- 7.9. The council is protected against a number of potential risks by indemnities and the contractual obligations are reinforced by a parent company guarantee from Capita Group, a company listed on the London Stock Exchange whose financial strength has been subject to assessment by the council's finance team. Should the parent company's financial standing fall below the required levels set by the council then they are obliged to put in place other forms of guarantee, such as a performance bond.
- 7.10. The partner will enter into an Admission Agreement in relation to the Local Government Pension Scheme. A bond will back up the partner's obligations with regard to staff pensions under the Local Government Pensions Scheme.
- 7.11. There are provisions within the contract which allow the council to terminate early for a number of grounds of Service Provider Default as well as provisions which address early termination due to force majeure.
- 7.12. The council also has the option to terminate the DRS contract voluntarily on six months' notice subject to having to compensate the partner for agreed contractual heads of compensation. These heads of compensation would also apply if the council was in breach of the contract and the partner had grounds to terminate. This is usual in all contracts requiring major investment.
- 7.13. The council has a legal duty as a public authority to continue to have regard to its obligations under the Human Rights Act 1998 (HRA). These duties (like the Public Sector Equality Duty) cannot be outsourced or delegated. Where the partner proposes any changes to the services during the term of the contract the council will ensure that it considers any potential implications any change in service will have on service users, residents or other individuals and will have due regard to such considerations in any decision it takes as to whether to bring such change(s) into effect.

## 8. CONSTITUTIONAL POWERS

- 8.1. Council Constitution, Part 3, Responsibility for Executive Functions – Paragraph 3.7 states the Cabinet may discharge any executive functions whether or not they are also delegated to officers.
- 8.2. This decision constitutes a key decision as it involves expenditure or savings in excess of £500,000 and has an effect on two or more wards.

## 9. BACKGROUND INFORMATION

- 9.1. In March 2011 Cabinet Resources Committee approved the Outline Business Case for the Development and Regulatory Services (DRS) project. This recommended that the council undertake a procurement process to identify a strategic partner to deliver:
- Building Control
  - Environmental Health
  - Hendon Cemetery & Crematorium
  - Highways Network Management
  - Highways Traffic & Development / Highways Strategy
  - Highways Transport & Regeneration
  - Land Charges
  - Planning Development Management
  - Regeneration
  - Strategic Planning
  - Trading Standards & Licensing
- 9.2. A ‘competitive dialogue’ procurement process has since been completed to identify the best partner for these services. Final Tenders have been received from two bidders – Capita Symonds and EC Harris. The outcome of the evaluation is a recommendation that the council proceed with Capita Symonds as preferred bidder, to form a joint venture with the council to deliver DRS services.
- 9.3. The Full Business Case demonstrates how the Final Tender from Capita Symonds enables the council to:
- meet the unprecedented financial pressures it is facing;
  - invest in these services; and
  - preserve and improve on existing service levels.
- 9.4. Capita Symonds’ Final Tender contains a range of contractual guarantees to deliver or exceed the targeted benefits from the Outline Business Case Update approved by Cabinet Resources Committee in December 2011. The offer and key benefits are described below.
- 9.5. Financial Benefits**  
In total, the guaranteed cashable financial benefit from entering into a joint venture arrangement with Capita Symonds would be £39.1m over a 10 year period. This exceeds the business case target by £12.6m.

### 9.6. Contract Savings

The Outline Business Case Update (December 2011) set out an expectation of financial benefits from the core services totalling £26.5m over a 10 year period. Capita Symonds' offer includes guaranteed financial benefits of £39.1m over the contract term, delivered by a combination of cost reductions (£5.3m) and net income growth (£33.8m).

This results in bringing the net cost of these services to the council down from £45m to £6m over the 10 year contract term (£4.5m to £600,000 per annum).

### 9.7. Impact on the Council's Medium Term Financial Strategy

The Medium Term Financial Strategy set DRS services a target of a £2.78m reduction in the current council base budget for the first two years of the contract. Capita Symonds' offer amounts to £2.80m for the first two years of the contract (2013/14 and 2014/15) and therefore meets the target.

As part of the council's annual budget planning, the Medium Term Financial Strategy has now been updated to include proposed savings up to 2015/16. This resulted in an additional savings target for DRS of £0.4m. This makes the new target £3.18m of savings in the first three years of the contract. Capita Symonds' offer includes savings of £4.06m by 2015/16, which comfortably exceeds the expected target.

### 9.8. Guaranteed Investment

Capita Symonds' proposal also includes (within the financial offer described above) approximately £8.2m investment in areas such as information technology (computer hardware and software), building infrastructure and training. This investment not only enables Capita Symonds to deliver the transformation it is proposing, but also avoids the council having to find money in the future to fund replacement technology for systems that are at or nearing the end of their useful life.

### 9.9. Additional Financial Benefits

In addition to these guaranteed financial benefits on core services, the Capita Symonds offer includes additional commercial proposals that potentially generate further financial benefits to the council over the contract term. The council's view is that this could potentially generate further financial benefits of several million pounds over the contract term. In practice this may result in additional business cases being presented to Members for approval. There is no obligation on the council to approve specific business cases and there is no impact on the guaranteed financial benefit.

### 9.10. Benefits for Residents

Capita Symonds commit to providing Barnet's residents with an improved and more efficient range of development and regulatory based services. Key examples of how this will be achieved are as follows:

- establishing a dedicated customer services team across all DRS services, supported by new technology, to provide quicker access to services and information. As part of this Capita Symonds will invest in new online services and self-service including case work tracking, reporting of local issues and complaints monitoring;
- forming a joint venture with the skills, capacity and leadership to co-ordinate the delivery of local services, focus on areas of need and achieve better outcomes for

residents including employment and health prospects. As part of this, Capita Symonds will initially fund £250,000 in a Barnet Observatory to understand social and economic trends and use this to best meet local needs. The total investment in the Barnet Observatory will be £1.04m over ten years; and

- significant investment in best-in-class technology and staff capability to enable more efficient and responsive delivery and a customer focused working culture.

#### **9.11. Benefits for Members**

Capita Symonds will provide Members with support in their functions as required, including a dedicated Member liaison service. This team will act as a single point of contact for Members for DRS services, answering enquiries, tracking cases and keeping Members informed.

Members will receive regular and directly relevant information about their wards and a wider summary of borough-wide trends in relation to DRS services. Cabinet Members will be able to monitor performance specific to their portfolios. Evidence of progress against objectives, projects and financial plans will be available to support scrutiny and governance processes.

Full policy and budgetary control and democratic oversight will be maintained.

#### **9.12. Benefits for Community Organisations**

Capita Symonds will commit to a range of initiatives to support community and voluntary sector organisations. This includes establishing local user forums to engage with communities, supported by the appointment of Community Liaison Officers. Capita Symonds will also create a Barnet Revolving Fund with an initial investment of £200,000 and revenue of £40,000 per annum, aiming to make the most of available funding such as New Homes Bonus and Business Rates (NNDR) to benefit local communities.

#### **9.13. Benefits for the Local Economy**

Capita Symonds sets out significant investment proposals to stimulate and drive forward borough-wide growth, enterprise and renewal, by:

- offering new business support and advisory services to help local traders, giving support to local town centre forums, and leading initiatives to reduce the number of vacant high street properties across Barnet compared to comparable boroughs;
- finding new ways to secure funding, including setting an overarching performance measure to increase the success of Barnet in winning Central Government funding;
- maximising the financial and economic benefits of new developments including increase receipts of New Homes Bonus, Community Infrastructure Levy, Business Rate rebate to fuel re-investment and deliver key infrastructure;
- providing new capacity to accelerate project delivery and unlock stalled projects; and
- In addition, Capita Symonds have expressed an intention to use Barnet as the base for the provision of DRS services and using Barnet as the base to grow business in the wider region.

**9.14. Benefits for Transferring Staff**

The preferred Tender incorporates a significant number of commitments covering HR matters and organisational and professional development. These also include activities during the transition period to ensure that staff are welcomed and integrated into the joint venture in an appropriate way. All transferring staff will benefit from the TUPE Transfer Commitments which is a preservation of contractual terms and conditions for the first year post contract, and on-going access to their Local Government Pension Scheme, whilst working on the Barnet contract.

- 9.15. There remains the option of discontinuing the procurement process. However, if the council chose not to complete this procurement, it would have to:
- make significant cuts to customer and support services in 2013/14 in order to meet immediate budget pressures;
  - attempt to replicate the investment, technology and other solutions being proposed by Capita Symonds in order to drive out the future savings required; and
  - at the same time attempt to maintain service levels in existing areas and develop further its own analytical capability to shape future commissioning.

The council does not currently have sufficient capacity or expertise to guarantee that all of this can be achieved concurrently. Capita Symonds is offering these guarantees.

Therefore, the recommendation is to enter into a joint venture with Capita Symonds for the delivery of DRS services, with the intention of Capita Symonds commencing services following Cabinet decision / Post Decision Scrutiny and a transition period.

**10. LIST OF BACKGROUND PAPERS**

10.1. None

<b>Cleared by Finance (Officer's initials)</b>	<b>JH</b>
<b>Cleared by Legal (Officer's initials)</b>	<b>Trowers &amp; Hamlin</b>

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## Full Business Case (FBC): DRS

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<b>Author:</b>	Pam Wharfe
<b>Date:</b>	
<b>Service / Dept:</b>	Deputy Chief Executive's Service

### Approvals

By signing this document, the signatories below are confirming that they have fully reviewed the Full Business Case for Development & Regulatory Services (DRS) project and confirm their acceptance of the completed document.

<b>Name</b>	<b>Role</b>	<b>Signature</b>	<b>Date</b>	<b>Version</b>
Andrew Travers	Interim Chief Executive			

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## Glossary

Reference	Full Description
DRS	Development & Regulatory Services
CSL	Capita Symonds Ltd
The council	London Borough of Barnet Council
TUPE	Transfer of Undertakings (Protection of Employment)
JV	Joint Venture

## 1. Executive summary

In March 2011 Cabinet Resources Committee approved the Outline Business Case for the Development and Regulatory Services (DRS) project. This recommended that the council undertake a procurement process to identify a strategic partner for the delivery of the following services:

- Building Control
- Environmental Health
- Hendon Cemetery & Crematorium
- Highways Network Management
- Highways Traffic & Development / Highways Strategy
- Highways Transport & Regeneration
- Land Charges
- Planning Development Management
- Regeneration
- Strategic Planning
- Trading Standards & Licensing

A 'competitive dialogue' procurement process has since been completed to identify the best partner for these services. Final Tenders have been received from two bidders – Capita Symonds (CSL) and EC Harris. The outcome of the evaluation is a recommendation that the council proceed with CSL as Preferred Bidder, to form a joint venture with the council to deliver DRS services.

The Final Tender submitted by EC Harris did not score as highly as CSL's bid. Evaluation has shown, however, that EC Harris would acceptably deliver the council's stated requirements and it is also recommended that the EC Harris tender is designated as a reserve bid, which the council may return to should it not be able to finalise a deal with CSL's.

This Full Business Case demonstrates how the Final Tender from CSL enables the council to:

- meet the unprecedented financial pressures it is facing;
- invest in these services; and
- preserve and improve on existing service levels.

CSs Final Tender contains a range of contractual guarantees to deliver or exceed the targeted benefits from the Outline Business Case Update approved by Cabinet Resources Committee in December 2011. The offer and key benefits are described below.

## Offer Summary

Contractual basis	Joint venture to be formed by CSL and the council which will contract with the council for the provision of the DRS services
Term	10 years initial term, with a council option for a 5 year extension
Financial benefits	<ul style="list-style-type: none"> <li>• £39.1m over 10 years guaranteed, derived from a mixture of cost savings and income growth</li> <li>• £8.2 of investment in services</li> <li>• Medium term financial strategy exceeded</li> </ul>
Key service commitments	<ul style="list-style-type: none"> <li>• Delivery of 66 key performance indicators related to the 11 services in scope and council policies.</li> <li>• Compliance with 11 detailed output specifications.</li> <li>• Delivery of detailed service delivery plans proposed by the bidder and agreed in dialogue.</li> </ul>
Commercial highlights	<ul style="list-style-type: none"> <li>• Key performance indicators linked to the level of payment</li> <li>• Any profit that is above target made by the provider to be shared with the council</li> <li>• Price indexed against the local government pay awards and the consumer prices index</li> <li>• Price may vary up or down dependant on service volumes for some services</li> <li>• Large potential for further benefits from existing and new income streams, plus selling services to other authorities</li> </ul>
Contractual elements	<ul style="list-style-type: none"> <li>• Services contract between the joint venture company and the council</li> <li>• Joint venture shareholders agreement</li> <li>• NSCSO Interface Agreement (the mechanism to manage the relationship between the NSCSO provider, DRS provider and the council)</li> <li>• Small works construction contract for repairs at Hendon cemetery and crematoria</li> </ul>
Staffing impacts	<ul style="list-style-type: none"> <li>• Transfer of employment to new provider under the Transfer of Undertakings (Protection of Employment) Regulation 2006</li> <li>• New provider to honour the council's TUPE Transfer Commitments</li> <li>• Training, leadership development programmes, Continuous Professional Development and skills enhancement, Succession planning and talent management</li> <li>• Opportunities to work on innovative and new projects</li> <li>• £500 per person per annum, average 5 days per person per annum to be invested in training and development over the life of the contract</li> <li>• Commitment to adding commercial skills and acumen to the services to enable individual development and growth of the business</li> <li>• 30 additional posts brought into Barnet for the first year of the contract</li> <li>• 30.1 posts removed from year 2 FTE figures then shown as stable for the remainder of the contract</li> </ul>
Reviews	Benchmarking will be carried out in year 4 and year 7, plus one other time per service at the council's election during the term. Year 7 will be a comprehensive review to feed into decision making

	related to any possible contract extension
--	--

## 1.1. Financial benefits

In total, the guaranteed cashable financial benefit from entering into a joint venture arrangement with CSL would be £39.1m over a 10 year period. This exceeds the business case target by £12.6m. This does not include the additional financial benefits discussed below.

### Contract savings

The Outline Business Case Update (December 2011) set out an expectation of financial benefits from the core services totalling £26.5m over a 10 year period. CSLs' offer includes guaranteed financial benefits of £39.1m over the contract term, delivered by a combination of cost reductions on the services specified in the output specifications (£5.3m) and net income growth (£33.8m).

This results in bringing the net cost of these services to the council down from £45m to £6m over the 10 year contract term (£4.5m to £600k per annum).

### Impact on the council's Medium Term Financial Strategy

The Medium Term Financial Strategy originally set DRS services a target of a £2.78m reduction in the current council base budget for the first two years of the contract. CSL's offer amounts to £2.80m for the first two years of the contract (2013/14 and 2014/15) and therefore meets the target.

As part of our annual budget planning, the Medium Term Financial Strategy has been updated to include proposed savings up to 2015/16. This resulted in an additional savings target for DRS of £0.4m. This is currently out for consultation for the period 2014-16. This makes the new target £3.18m of savings in the first three years of the contract. CSL's offer includes savings of £4.06m by 2015/16, which comfortably exceeds the expected target.

### Guaranteed investment

CSL's proposal also includes (within the financial offer described above) approximately £8.2m investment in areas such as information technology (computer hardware and software), building infrastructure and training. This investment not only enables CSL to deliver the transformation it is proposing, but also avoids the council having to find money in the future to fund replacement technology for systems that are at or nearing the end of their useful life.

### Additional financial benefits

In addition to these guaranteed financial benefits on core services, the CSL offer includes additional commercial proposals that potentially generate further financial benefits to the council over the contract term. The council's view is that this could potentially generate further financial benefits of several million pounds over the contract term. In practice this may result in additional business cases being presented to Members for approval, however there is no obligation on the council to approve specific business cases and there is no impact on the guaranteed financial benefit.

## 1.2. Non-financial benefits

### Benefits for residents

CSL commit to providing Barnet's residents with an improved and more efficient range of development and regulatory based services. This will be achieved through:

- establishing a dedicated customer services team across all DRS services, supported by new technology, to provide quicker access to services and information. As part of this CSL will invest in new online services and self-service including case work tracking, reporting of local issues and complaints monitoring
- forming a joint venture with the skills, capacity and leadership to co-ordinate the delivery of local services, focus on areas of need and achieve better outcomes for residents including employment and health prospects. As part of this, CSL will initially fund £250,000 in a Barnet Observatory to understand social and economic trends and use this to best meet local needs. The total investment in the Barnet Observatory will be £1.04m over ten years.
- significant investment in best-in-class technology and staff capability to enable more efficient and responsive delivery and a customer focused working culture.

### Benefits for Members

CSL will provide Members with support in their functions as required, including a dedicated Member liaison service. This team will act as a single point of contact for Members for DRS services, answering enquiries, tracking cases and keeping Members informed.

Members will receive regular and directly relevant information about their wards and a wider summary of borough-wide trends in relation to DRS services. Cabinet members will be able to monitor performance specific to their portfolios. Evidence of progress against objectives, projects and financial plans will be available to support scrutiny and governance processes.

Full policy and budgetary control and democratic oversight will be maintained.

### Benefits for community organisations

CSL will commit to a range of initiatives to support community and voluntary sector organisations. This includes establishing local user forums to engage with communities, supported by the appointment of Community Liaison Officers. CSL will also create a Barnet Revolving Fund with an initial investment of £200,000 and £40,000 per annum, aiming to make the most of available funding such as New Homes Bonus and Business Rates (NNDR) to benefit local communities.

### Benefits for the local economy

CSL sets out significant investment proposals to stimulate and drive forward borough-wide growth, enterprise and renewal, by:

- offering new business support and advisory services to help local traders, give support to local town centre forums, and leading initiatives to reduce the number of vacant high street properties across Barnet compared to comparable boroughs
- finding new ways to secure funding, including setting an overarching performance measure to increase the success of Barnet in winning Central Government funding

- maximising the financial and economic benefits of new developments including increase receipts of New Homes Bonus, Community Infrastructure Levy and localised Business Rate to fuel re-investment and deliver key infrastructure
- providing new capacity to accelerate project delivery and unlock stalled projects.

In addition, CSL have expressed an intention to use Barnet as the base for the provision of DRS services and using Barnet as the base to grow business in the wider region.

### **Benefits for transferring staff**

The preferred Tender incorporates a significant number of commitments covering HR matters and organisational and professional development. These also include activities during the transition period to ensure that staff are welcomed and integrated into the joint venture in an appropriate way. All transferring staff will benefit from the TUPE Transfer Commitments which is a preservation of contractual terms and conditions for the first year post contract, and on-going access to their Local Government Pension Scheme, whilst working on the Barnet contract.

A schedule of proposed key service improvements is detailed in Appendix A covering each service area.

## **1.3. Recommendation**

The evaluation of the Final Tenders from EC Harris and CSL has determined that the latter represents the best solution for the council. This result has been reached using the objectives set out at the start of the procurement (see Section 9 - Table 9.2). It is recommended that CSL's Final Tender is taken forward to contract signature as the preferred bid.

The Final Tender submitted by EC Harris did not score as highly as CSL's bid. Evaluation has shown, however, that it would acceptably deliver the council's stated requirements. It is, therefore, recommended that the EC Harris Tender is designated as a reserve bid, which the council may return to should it not be able to finalise a deal with CSL.

There remains the option of discontinuing the procurement process. However, if the council chose not to complete this procurement, it would have to:

- make significant cuts to customer and to these services of £1.53m in 13/14 and £1.225m in 14/15 in order to meet immediate budget pressures;
- while the council could attempt to replicate the service efficiencies it is difficult to see how this would be achieved without additional investment

The council does not currently have sufficient capacity or expertise to guarantee that all of this can be achieved concurrently. CSL is offering these guarantees.

Therefore, the recommendation is to enter into a joint venture with CSL for the delivery of DRS services, with the intention of them commencing services following Cabinet decision / Post-Decision Scrutiny and a transition period.

## 2. Introduction and Strategic Context

The London Borough of Barnet, like all other local authorities, is facing an unprecedented reduction in finances (26% cut in funding from central government; latest budget gap of £49.8m for period 2013-16 reported to Cabinet in February 2013). The indications from Government are that further reductions will be made until at least 2017/2018, extending the current period of austerity to the end of the decade. At the same time Barnet's population continues to grow, and this is likely to continue at a significant rate in the next ten years as a result of regeneration in the west of the borough and endemic growth. This will lead to greater demands on frontline services, particularly those for adults and children with social care needs.

The One Barnet transformation programme was conceived against this backdrop, based around the following three principles:

1. A new relationship with citizens: services designed and delivered around customers' needs, provide the best possible customer experience, and enable customers to help themselves and each other including enabling self-service wherever possible.
2. A one public sector approach: services are in a position to support the requirements of all public sector partners and drive better multi-agency working.
3. A relentless drive for efficiency: operate as efficiently as possible to minimise the cost of the service and maximise the accessibility of the service to customers; be innovative and take advantage of evolving technology, thinking and practice; maximise the value the council achieves from all its assets (capital and revenue).

As part of this programme, the evaluation of options for the future delivery of a range of the council's development and regulatory based services became a priority. These services are:

- Building Control
- Environmental Health
- Hendon Cemetery & Crematorium
- Highways Network Management
- Highways Traffic & Development / Highways Strategy
- Highways Transport & Regeneration
- Land Charges
- Planning Development Management
- Regeneration
- Strategic Planning
- Trading Standards & Licensing.

These services have a current gross cost (the baseline) of approximately £14m per annum. A large proportion of this cost is recovered from fees for services, such as planning applications, and from third parties, such as development partners.

The council has already delivered a number of internal improvement and transformation initiatives for these services. It has, however, reached the limits of its ability to deliver further savings without significant cuts and reductions in service levels or major investment to deliver efficiencies. Consequently, there is a need for a fundamentally different approach that will allow the council's strategic objectives to be delivered within the funding it has available.



## 2.1. Process to Date

In preparation of the Outline Business Case, seven different options for achieving the savings and performance improvements required were considered. These options were:

- private sector joint venture i.e. a new company owned by a partner and the council
- status quo plus
- incremental partnership
- shared services
- local authority trading arm
- strategic partnership i.e. an outsourcing to an aligned organisation
- management buy out

This appraisal found that a strategic partnership<sup>1</sup> with a private sector partner would offer the greatest benefit overall at that stage. It recommended that a procurement process was initiated for the services in scope, subject to the approval of the Outline Business Case. The Outline Business case was subsequently approved by Cabinet Resources Committee in March 2011. The Outline Business Case noted the conclusion of the appraisal and also noted that *“the possibility of establishing a joint venture (JV) with a private sector partner should not be completely discounted if it provides to be the most advantageous to the council during the procurement process.”*

An Official Journal of the European Union (OJEU) notice for a competitive dialogue procurement was placed in March 2011. This stated that *“The London Borough of Barnet will select whichever service delivery model the competitive dialogue identifies as best meeting our desired outcomes. We will examine strategic partnerships and the option of setting up a legal vehicle jointly, e.g. a joint venture vehicle. We will be open to the discussion of other vehicles and will select our preferred model on the basis of best fit.”*

This was followed by a Pre-Qualification Questionnaire down-selection, which identified those bidding companies with the technical and financial standing required by the council. Dialogue with six bidders commenced in June 2011.

Following the evaluation of Outline Solutions from four of the bidders (two bidders having withdrawn) and Cabinet Resources Committee approval of an updated Business Case on 14 December 2011, dialogue continued with 2 bidders - EC Harris and CSL. In the first wave of dialogue EC Harris were bidding in a consortium with FM Conway however, FM Conway withdrew following Outline Solution and EC Harris continued to bid on their own. In the Business Case update approved by Cabinet Resources Committee in December 2011, the position of March 2011 was reconfirmed. It was also noted that a potential benefit of entering a joint venture would be the council securing an increased share of income generated by the contract.

On 2 January 2013 the competitive dialogue procurement process concluded with the submission of Final Tenders from both EC Harris and CSL.

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<sup>1</sup> A long term partnership through which a commercial organisation takes on the management of one or more services for a Council, using its existing know-how, resources and capability and investing as required to transform processes and functionality within those services and takes an appropriate level of risk on the successful delivery of outputs and outcomes.

These Final Tenders have been evaluated by the council in accordance with the published evaluation criteria, and the highest scoring bidder is recommended as the council's choice for the DRS contract.

As part of the Invitation to Submit Final Tenders, both bidders were asked to submit a proposal which would include the creation of a joint venture with the council. Consequently, the contract will be between the council and a joint venture co-owned by CSL and the council.

The benefits of forming a joint venture with CSL are detailed in Table 3.1.

This Full Business Case sets out the financial and non-financial benefits offered by CSL in their Final Tender. These benefits exceed those forecast in the council's Outline Business Case. This Full Business Case also identifies how the council will assure the delivery of these benefits through the implementation and subsequent successful management of the contract.

The DRS bidders Detailed Solutions were received prior to the Cabinet approval of the NSCSO Preferred Bidder recommendation on 6 December 2012. For the Final Tender the DRS bidders were told that they couldn't offer savings related to a possible successful NSCSO bid in their DRS submission.

### **3. The Joint Venture Approach**

This section of the business case explains sets out what the joint venture approach is in more detail and in the context of CSL's offer.

#### **3.1. The Joint Venture Model**

Due to new provisions in the Localism Act 2011, technically the council will need to first form its own wholly owned company to channel its interest into the joint venture company. So the council's shares in the joint venture company will be held by another company on the council's behalf, but in all other respects, the description of the model, the benefits and the approach in the CSL bid as outlined below are unaffected by this technicality.

The Joint Venture company will enter into a contract with the council for the provision of the DRS services (the contract would be the same whether it were directly with CSL or with the Joint Venture company).

The diagrams below show how the strategic partnership model compares to the joint venture model.

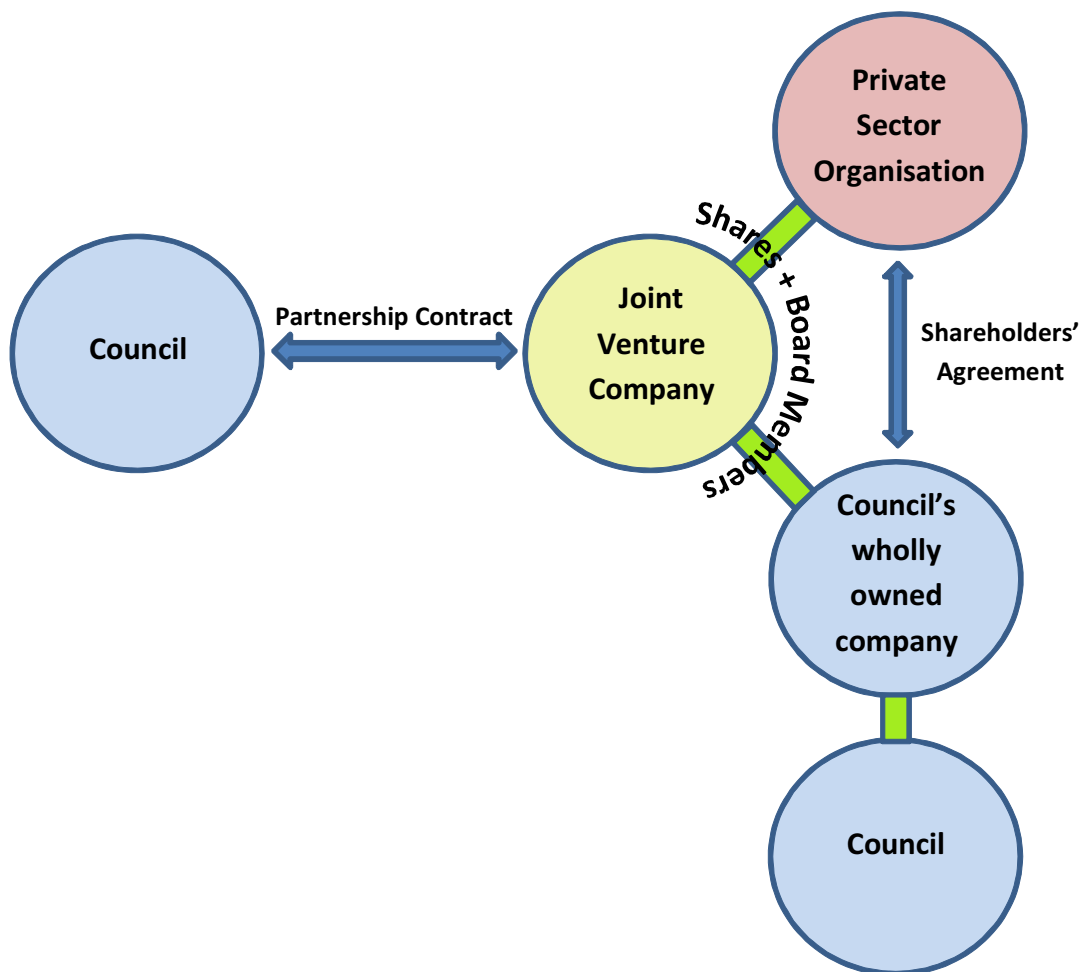
#### **Typical Strategic Partnership Approach**

Under a typical strategic partnership approach the council would have a contract for the supply of services for an agreed commercial arrangement.



**Joint Venture Approach**

Under a typical joint venture approach the council and the private sector organisation would form a new company, with both owning shares in this new company (as noted the council's shares will be channelled through a separate wholly owned company). The council would then have a contract with this new company (the joint venture company) for the supply of services for an agreed commercial arrangement. The two shareholders will also have a shareholders agreement between them to set out their agreement on matters like Board composition and payment of dividends.



## Why make use of a Joint Venture?

There are a number of benefits with the joint venture model as follows. The joint venture:

- enables the council to have a greater degree of control – with representation on the joint venture company's Board and as a shareholder the council would have a greater degree of control over the operation of the business
- provides the transparency that helps ensure the council receives any profit due – as shareholder in the joint venture company the council has the right to inspect the accounts of the company even when they do not relate to the DRS contract
- enables the council to be able to trade more easily with other Authorities – without the joint venture company the council could be exposed to more risk if it traded directly with other Authorities as opposed to via a limited company
- may give some customers greater confidence than trading with a purely privately owned company – some councils will be less sceptical of placing a contract with an organisation that another council is a shareholder of
- could continue to make profits after the end of the DRS contract – there is no necessity to stop being a shareholder in the joint venture company, or for it to stop trading, at the end of the DRS contract.

As the council would be a shareholder in the joint venture company, and the joint venture company has the responsibility for delivering the DRS contract this would appear to transfer some of the risk and responsibility for the contract back to the council. However, a company limited by shares structure means that the financial risk of the council as shareholder is limited to its liability to subscribe for shares (which is a nominal amount). Moreover, the CSL's offer has been constructed so that the Joint Venture approach does not weaken the Council's guaranteed benefits or expose the Council to any additional significant risk. Ultimately the fulfilment of the contract is underpinned by a parent company guarantee provided by CSL and, in the case of service underperformance or financial loss, CSL or its parent company would be the responsible party.

## Why make use of joint venture instead of a strategic partnership?

In the 2010 options appraisal the private sector strategic partnership model was the highest scoring option evaluated at that time based on the criteria set by the council but also recognised that a joint venture was a potential option, as reflected in the OJEU notice.

As a result of developments in dialogue meetings the joint venture option was reappraised as the offers emerging had qualities that meant that the potential benefits of entering a joint venture were higher than anticipated in 2010, and the risks were lower. The key feature that emerged during dialogue was the commercial potential that the bidders saw in the DRS services and their ability to provide these services for other Authorities.

The table below sets out some of the strengths and weaknesses that were considered in the 2010 options appraisal and provides a commentary on these based on the outcome of dialogue.

Table 3.1 - Benefits and Weaknesses

Benefit / Weaknesses <sup>2</sup>	Finding Through Dialogue
<b>Benefits</b>	
<p>A joint venture structure encourages greater focus on achievement of a jointly agreed business plan, achieving goals and direct accountability for the performance of a joint venture's business.</p>	<p><b>Expectation met</b></p> <ul style="list-style-type: none"> <li>• CSL's final tender includes a Joint Venture Agreement that sets out that the joint venture will develop a business plan, based on the commercial development plan that formed part of the final tender. It will then undertake annual business planning to update this plan.</li> </ul>
<p>Joint ventures can offer both partners significant benefits, including sharing experience, skills, people, equipment and customer bases. They also allow for a sharing of commercial risk (and reward) between the venture partners.</p>	<p><b>Expectation exceeded</b></p> <ul style="list-style-type: none"> <li>• The Final Tender confirms that the council will be providing expertise in the services within the contract, with the associated staff group.</li> <li>• The Final Tender confirms that CSL will be providing commercial expertise, investment for IT and other equipment, and the potential to grow the customer base.</li> <li>• The Final Tender's Joint Venture Agreement confirms that CSL will underwrite the performance of the DRS contract. Should it fail to do this then a parent company guarantee would pass this obligation onto their parent company.</li> <li>• The Final Tender's Joint Venture Agreement confirms that the council will not be financially liable for the performance of the joint venture.</li> </ul>
<p>A joint venture promotes a greater level of diversification and organic growth using an increased pool of resources. Similarly, they provide the opportunity to give staff greater incentives to deliver, through the prospects of higher salaries and rewards such as bonuses or share options.</p>	<p><b>Expectation exceeded</b></p> <ul style="list-style-type: none"> <li>• The Final Tender includes a 'non-competition' clause, which not only means that the joint venture can grow as a result of increased resources, but <u>also</u> that CSL will not compete with it for that work within a specified geographic area within the South of England, covering over 150 councils, unless of low value, or has been assessed under an agreed process as not being appropriate for the joint venture to pursue or if the joint venture decides not to bid (and the council agrees) or the contract is already subject to a bid by CSL at the time of contract signature.</li> <li>• <u>In addition</u> to the above, CSL offer the opportunity to increase the skills and resource available to the joint</li> </ul>

<sup>2</sup> London Borough of Barnet: Development and Public Health Services (DPHS) Project: Options Appraisal Report, v4.0, pg 74

	<p>venture by moving approximately 150 staff into the joint venture. These staff would come from four of their existing businesses working in DRS related areas. This would accelerate the diversification and growth of the joint venture. N.B. this is subject to the council conducting thorough due diligence. The guaranteed benefits are not dependant on the council's acceptance of this proposal.</p> <ul style="list-style-type: none"> <li>• While potential for incentivisation of staff through salary and reward schemes is included within the joint venture Agreement, the council reserves the right to veto these above £150,000.</li> </ul>
<p><b>New benefit:</b> Entering a joint venture increases the amount of income that the private sector partner is willing to underwrite.</p>	<p><b>New benefit realised</b></p> <ul style="list-style-type: none"> <li>• As a result of the joint venture approach and CSL's appreciation of the council's commitment to the success of the joint venture they were able offer a higher amount of guaranteed income, as opposed to unguaranteed income that it aims to achieve through trading.</li> </ul>
<p><b>Weaknesses</b></p>	
<p>There can be additional costs involved in setting up a joint venture and negotiating partnership arrangements.</p>	<p><b>Weakness minimised</b></p> <ul style="list-style-type: none"> <li>• The one-off cost of setting up the joint venture will be £100,000, which are more than offset by increased guaranteed income.</li> <li>• The on-going costs of council-side management of the joint venture have been absorbed into the council's revenue budget without any increase being required.</li> <li>• The on-going costs of CSL management of the joint venture are in line with previous management overheads being modelled for a strategic partnership.</li> <li>• The negotiation of partnership arrangements has been undertaken within the project budget approved by Cabinet Resources Committee.</li> </ul>
<p>The joint venture may be less effective if the parties involved have differing or conflicting governing expectations and objectives. Even though different institutions can sign up to a common vision and set of objectives, institutional priorities can still interfere.</p>	<p><b>Weakness minimised</b></p> <ul style="list-style-type: none"> <li>• The Joint Venture Agreement requires the Directors and Shareholders to approve the business plan annually thus ensuring that the company works in all shareholders' joint interests.</li> <li>• The joint venture agreement sets out at a high level business the aims of the joint venture.</li> <li>• The council's Director on the joint venture Board will not have a day to day role in managing the DRS contract which will be managed separately.</li> </ul>

	<ul style="list-style-type: none"> <li>• <u>In addition</u> to the above, the council has the right to veto a number of issues that are important to it, for example, borrowing above a certain level or the payment of dividends that exceed annual profits. The council can use these rights to protect its interests if required.</li> </ul>
<p>Problems can occur if there is an imbalance in levels of expertise, investment or assets brought into the venture by the different partners. The result could be that one partner may dominate the other.</p>	<p><b>Weakness minimised</b></p> <ul style="list-style-type: none"> <li>• Both parties to the joint venture are making a significant contribution, for example the council is transferring a large number of highly skilled staff into the joint venture company providing it with the technical expertise it will need to fulfil the DRS contract and develop new commercial opportunities. CSL is contributing its expertise in delivering efficiency and maximising the commercial opportunities</li> <li>• The Joint Venture Agreement requires a business plan to be jointly agreed, thus ensuring that the company works in all shareholders' joint interests.</li> </ul>
<p>There can be inadequate identification, support and compensation of senior leadership and management teams within joint ventures.</p>	<p><b>Weakness minimised</b></p> <ul style="list-style-type: none"> <li>• The council and CSL will be represented on the Board of Directors. Details of who the Directors will be will be finalised during mobilisation. However, the council will appoint one Director and will also have the right to nominate the Chairman of the Board.</li> </ul>
<p>A local authority may not wish to be associated with a very profitable joint venture, or with a financially unsuccessful one potentially failing to deliver high profile services.</p>	<p><b>Weakness minimised</b></p> <ul style="list-style-type: none"> <li>• The council will hold the joint venture to the same contractual agreements as if CSL had been appointed through a strategic partnership. While reputational risk remains for the council in cases of under-performance, contractual remedy remains in place with the ultimate responsibility of delivery with CSL or their surety</li> <li>• The council will avoid excessive profit going to CSL through both its contractual arrangements and the joint venture agreement – if more profit than expected is made from the DRS contract the majority of this will go to the council, if more profit is made from activities outside Barnet e.g. from another outsourcing the joint venture secured, then the majority of that profit will go to CSL with a smaller proportion going to the council. This arrangement reflects the additional work CSL would need to contribute to the out of borough sales and the fact that the liability for delivery will remain with them.</li> </ul>

## The commercial model of the joint venture approach

Under the joint venture approach the commercial model related to the guaranteed financial benefits has many similarities to the strategic partnership approach.

In essence and in the same way with a strategic partnership, the supplier (which in this case is the joint venture company) contracts with the council to provide the services specified to the standards set out at an agreed price. In addition as these services generate income the contract also sets out the required minimum level of income they must provide to the council. The net cost to the council is therefore the price minus the guaranteed income. In addition, extra provisions have been included in the joint venture agreement to protect the council should the joint venture company not fulfil this agreement which ensures that the responsibility passes to the commercial partner or its parent company, not the council.

Where income is generated through trading – either of existing or new services, both within and outside Barnet, then the differences in the joint venture approach are more marked, albeit there are some similarities.

The table below helps to explain how the joint venture accounts for additional income generated from trading, which may include outsourcing deals with other Authorities.

Scenario	How the council benefits
More profit is generated from the DRS contract as a result of higher than anticipated income which exceeds costs	There is a contractual mechanism that splits this benefit between the council and the joint venture company. There is a further mechanism in the joint venture agreement that prevents the council from benefiting a second time on this element of profit if the joint venture declares a dividend (as the council has already obtained its benefit).
More profit is generated within the DRS contract as a result of lower than anticipated costs for planned levels of income	There is a contractual mechanism that splits this benefit between the council and the joint venture company. There is a further mechanism in the joint venture agreement that prevents the council from benefiting a second time on this element of profit if the joint venture declares a dividend (as the council has already obtained its benefit).
Profit is made on other trading by the joint venture company, such as outsourcing of other Authorities' services	If as a result of other contracts which the joint venture company wins and delivers it generates a profit then the shareholders i.e. the council and CSL, will share these as profits at the end of the year as dividends in agreed proportions. The proportions differ based on a simple test related to the involvement of the council in the winning of the contract.

In light of the above matters, the joint venture approach is considered to be the most advantageous model for the council for the delivery of the DRS contract.

### Tax note regarding joint venture

There are no tax implications for the guaranteed financial benefits of making use of a joint venture.



An element of any additional financial benefit made that is due to the council over and above the guaranteed amount may be subject to corporation tax. Following external tax advice, the council have incorporated provisions into the contract to ensure that additional income generated from the Services within Barnet is retained by the council rather than by the Joint Venture, which ensures that this benefit is not subject to corporation tax.

The benefit the council can extract in this way is likely to exclude profits made from other major contracts the joint venture may win outside Barnet. This profit, if made, would be paid to the council by way of a dividend on taxed profit in the joint venture. The joint venture approach gives the council a higher probability of achieving further financial benefits and as a result the likely benefits outweigh the costs.

### **3.2. Updated Options Appraisal**

Both bidders have produced Final Tenders based on the joint venture approach that meet, and in places exceed, the benefits in that Outline Business Case.

The table below presents four options that are now available to the council. Option 2 (proceed to contract signature with CSL and form a joint venture) is the only credible option to deliver the financial benefits, service levels, investment and strategic benefits that the council requires.

The risks associated with this option are set out in Section 6 along with related controls and mitigating actions.

**Table 3.2 - Refresh of Options Appraisal Summary for DRS**

<b>Option</b>	<b>Advantages</b>	<b>Disadvantages</b>
<b>1. Do nothing - abandon the procurement and retain the services in-house</b>	<ul style="list-style-type: none"> <li>• The council retains complete control over service delivery and how savings are achieved</li> <li>• The council would avoid the effort involved in transferring the services and setting up a joint venture and contract management team</li> <li>• The council would avoid the risks of poor contractor performance and poor contract management</li> <li>• This leaves open the possibility of moving to a different option in the medium term</li> </ul>	<ul style="list-style-type: none"> <li>• The council has limited commercial capability to deliver the higher levels of income that would help meet the council's financial objectives</li> <li>• The services would have to be reduced in order to deliver the savings required by the Medium Term Financial Strategy, and this would severely jeopardise the ability of these frontline delivery units to work effectively and meet statutory requirements</li> <li>• Significant job losses would be likely to achieve the savings required</li> <li>• The council retains all risk relating to the quality of service delivery and how future savings are achieved</li> <li>• The council would still need to invest substantially in replacing some IS and building infrastructure which would add difficulty to meeting the Medium</li> </ul>

Option	Advantages	Disadvantages
		<p>Term Financial Strategy</p> <ul style="list-style-type: none"> <li>The council would lose credibility with the marketplace inhibiting future procurements and expose itself to potential abortive cost claims from bidders</li> </ul>
<p><b>2. Proceed to contract signature and formation of a joint venture with the Preferred Bidder recommendation</b></p>	<ul style="list-style-type: none"> <li>The council exceeds the financial benefits required by the Business Case Update</li> <li>The council secures upfront investment in the technology and transformation required by the services to increase efficiency and improve service levels, particularly in customer interaction</li> <li>The council transfers the risk of the quality of service delivery and the achievement of savings to the partner</li> <li>The council benefits from the external expertise, innovation and commercialism of a long-term strategic partnership</li> <li>The council is well positioned to benefit from aspirational financial benefits in addition to the guaranteed benefits</li> <li>The council is able to hold the service provider to account pursuant to the contractual arrangement and incentivise performance through a price/performance mechanism</li> </ul>	<ul style="list-style-type: none"> <li>The council has less direct control over the delivery of the services</li> <li>A contract is limited in its ability to respond to change, but provisions in the contract allow for changes to be made as a result of reductions in government funding and also as a result of changes to legislation</li> <li>Whilst the risk of delivering these benefits will be substantially transferred to the Partner under the contract, the council retains risk that may be broadly summarised as the partner fails to fulfil its contractual commitments</li> </ul>
<p><b>3. Proceed to contract signature on the Preferred Bidder recommendation, but reduce the scope of the contract</b></p>	<ul style="list-style-type: none"> <li>The council can select those services the council believes would benefit most from outsourcing or carry least risk</li> </ul>	<ul style="list-style-type: none"> <li>The Public Contracts Regulations (Regulation 18(29)) limits what an authority can do following close of dialogue to "clarify and confirm commitments" – reduction in scope may contravene this.</li> <li>The size of the contract provided the bidders with scope to offer the council significant financial and</li> </ul>

Option	Advantages	Disadvantages
		<p>non-financial benefits. Reduction in scope would require recalibration of the deal and affect the attractiveness of the business case to both parties. This could potentially result in CSL walking away and initiating a legal challenge</p> <ul style="list-style-type: none"> <li>Any reduction in scope of service also has to be considered in the context of the law governing procurement. Removing services from scope widens the field of companies who would have viewed themselves as having the requisite capability to deliver the contract, and there is a risk that such companies would bring legal action against the council for denying them opportunity to provide the reduced scope of services. This could result in the current contract being suspended or deemed ineffective and the council may have to undertake a further procurement exercise incurring further costs and time delays</li> </ul>
<p><b>4. Abandon this procurement and re-assess alternative delivery models (as identified in the Options Appraisal)</b></p>	<ul style="list-style-type: none"> <li>council may avoid the effort involved in transferring the services and setting up a contract management team (dependant on the model chosen)</li> <li>council would avoid the risks of poor contractor performance and poor contract management by the council</li> </ul>	<ul style="list-style-type: none"> <li>This has the same disadvantages as option 1</li> <li>This would incur more funding from the council's transformation reserve than is budgeted for</li> <li>This would further delay the timetable for releasing the savings required by the MTFS leading to immediate pressure over the next 12-24 months;</li> <li>The council would need to build in substantial provision for the risk of not achieving the planned benefits.</li> <li>The council would lose credibility with the marketplace inhibiting future procurements and expose itself to potential abortive cost claims from bidders</li> </ul>

#### 4. Expected Benefits

The Updated Outline Business Case approved by Cabinet Resources Committee on 14 December 2011 identified a number of benefits that the project would be required to deliver, in the following categories:

- Financial case
- Strategic benefits
- “A new relationship with citizens”
- “A one public sector approach”
- “A relentless drive for efficiency”

#### **Service performance levels and output specifications**

The provider is committed to delivering detailed output specifications across all service areas and as minimum, meeting current service level performance indicators. The output specifications set out all service activities and work steams currently undertaken and as required by statutory provision.

The provider is also incentivised to maintain and improve service levels by the contract. There is a contractual mechanism that allows the council to make financial deductions from the amount we pay the provider should key performance indicators not be met. The contract as a whole has over 60 such indicators to monitor service performance, policy compliance and delivery of and also wider performance such as achievement of strategic goals and adherence to council policies.

The benefits committed by CSL are summarised below in Table 4.1. Within the contract, these are evidenced and supported by detailed service delivery and improvement plans.

**Table 4.1 Benefits provided by CSL’s offer**

<b>Contractual commitments in CSL’s Final Tender</b>
<p><b>Financial case</b></p> <p>To deliver a guaranteed financial benefit to the Authority that meets the target of £26.5m over the contract term. Financial benefit of £24.7m after internal project costs of £1.7m</p> <p>Benefits exceeded:</p> <ul style="list-style-type: none"> <li>• Guaranteed aggregate Net Financial Benefit Years 1-10 of £39.1m</li> <li>• Guaranteed financial benefit after internal project costs of £36.6m (current project costs projection of £2.5m)</li> </ul> <p>Further potential financial benefits to the Authority dependent on success of various growth initiatives</p> <p>Meet MTFs targets for base savings for 13/14 (£1.53m) and 14/15 (£1.255m): total of £2.78m</p> <p>The guaranteed financial benefit is contractually underwritten by CSL. A Parent Company Guarantee underwrites this benefit</p> <p>Cost reductions and income increases profile met and exceeded:</p> <p>CSL’s offer includes guaranteed savings of £1.54m in 13/14 and £2.80 in 14/15. Further base savings in subsequent years</p> <p>Potential additional financial benefit</p> <p>CSL’s offer includes guaranteed financial benefits of £39.1m. This is comprised of both cost reductions (£5.3m) and net income growth (£33.8m).</p>

## Contractual commitments in CSL's Final Tender

The CSL offer includes additional commercial proposals that potentially generate further financial benefits to the council over the contract term. The council's view is that this could potentially generate further financial benefits of several £m over the contract term.

Impact of volume change:

Variations in certain volumes lead to agreed increases in price as set out in the contract. CSL's offer includes price revisions if volumes fall outside the tolerance parameters of 95%-110% of base volumes.

For many volumes, however, there is no increase in core price as the volumes relate to income generating activity (e.g. more land charge searches). The increase in income offsets the increased cost and the core price does not go up.

Commercial Benefits:

In addition to the guaranteed financial benefits the offer aims to achieve an amount of additional financial benefit from maximising the commercial opportunities that the cluster of services represent. This could represent several £m of additional benefit.

The offer sets out a number of initiatives in the Commercial Development Plan that the provider plans to pursue to generate further profitable income. These initiatives cover existing, new and enhanced services to the residents of Barnet, as well as wider sales outside the borough.

These benefits are shared with us on the following basis:

- Should income from activities within the Borough exceed the minimum guaranteed income amounts, then once the additional costs of delivery and service provider profits have been taken out the Authority will obtain an agreed share of the profit over the contract term
- The provider, making use of the joint venture, will also target sales outside the Borough. The main opportunities would be with other Local Authorities - potentially smaller contracts for some services, such as planning application processing at times of high demand, or larger full outsourcing contracts for full DRS related services or groups of such services. Any profit generated by these sales (where LBB has had less direct involvement) would go into the joint venture company and we could obtain a share of this as a dividend
- The provider is incentivised to achieve the aims of the Plan. Firstly they have agreed to a guaranteed minimum income level for the council which is higher than present income levels. If they do not develop these opportunities and achieve additional income they would need to fund any shortfall themselves. Secondly, should the provider over-achieve the guaranteed income levels, they can benefit by obtaining a share of any profit made. Finally, should CSL not take the actions they have committed to in the Plan and not achieve the income then the council have a contractual right to make deductions from the payments to CSL.

## Contractual commitments in CSL's Final Tender

### Strategic benefits

The provider will enhance the capacity, capability and quality of DRS services to be able to realise the council's corporate objectives. This is underpinned by a set of cross-cutting performance indicators, recognising the strategic intention to maintain Barnet as a successful place and the need to be proactive in driving social, economic and financial benefits for the borough, encouraging local economic growth whilst keeping it a green and pleasant suburb. Key commitments include:

- Introducing new technology, training and processes to improve customer satisfaction, with targets to increase satisfaction to 80% after Year 1 and to 85% by Year 5
- Delivery of employment and enterprise programmes - engaging in particular with young people not in employment, education or training - underpinned by a commitment to achieve an annual reduction in the number of Barnet-based graduates and school leavers looking for work after five years. In addition, to support local businesses and town centres, underpinned by a target to increase business survival rates compared with similar authorities.
- Implementing enhanced 'one-stop shop' business support and advisory services to help local traders, improve compliance and health and safety and initiatives to reduce the number of vacant high street properties across the borough compared to other comparable boroughs after five years.
- Closer working with other services providers and organisations including The Barnet Group and the police to identify issues in relation to health and inequality and jointly develop and fund programmes to promote health and well-being across the community, introduce preventative measures and reduce the cost of care in the future.
- New ways to secure funding through combining land value receipts, planning obligations, New Homes Bonus, Housing Revenue Account monies and the potential generation of income from Business Rate reform. This includes targeting funding applications for regeneration projects across the Borough. This is underpinned by a performance measure to increase the success of Barnet in winning available Central Government funding year on year
- Accelerating progress with the council's existing major regeneration schemes and town centre opportunities.
- Implementation of CSL best practice 'Local Suppliers Charter' to ensure that local people benefit from development in the borough, helping to match opportunities in the supply chain with local residents and businesses.

### A new relationship with citizens

CSL's proposal will enable a better understanding of customer and community needs, use new technology and processes to provide a better customer experience, and improve engagement with residents and businesses. CSL have committed to a number of initiatives to achieve this:

- Developing and implementing a detailed Customer Access Strategy to increase and monitor resident and customer satisfaction, underpinned by the development of a customer services charter and a commitment to achieve increased customer satisfaction.
- Investing in DRS customer service technology (upgrading existing customer-facing IT,

### Contractual commitments in CSL's Final Tender

implementing CSL's own Customer Relationship Management system and integrating with NSCSO customer service systems) to significantly enhance online and web-based services to include self-service portals, interactive GIS and mapping data. This enables a single point of contact and 'seamless' customer experience, and better processes to support customers. This will deliver a number of benefits:

- encouraging greater self-help and channel shift
  - access to new information including advice and data (e.g. public registers such as food premises and land searches, case work tracking (such as planning applications), and real-time monitoring of complaints.
  - enabling on-line transactions including applications and payments, using online customer accounts with tailored information for individuals' preferences
  - automated reminders for renewals of licences and planning consents
  - offer personalised services at premium rates including training and packaged services such as planning, building control and licensing applications
  - on-line stakeholder engagement and consultation
- Provision of a dedicated DRS customer service team, fully trained in customer service delivery to provide a high rate of first time resolution, promoting a more proactive approach to customer service and establishing a network of customer champions
  - Implementation of 'life event' based customer contact management processes and a one-stop-shop resident and business support service
  - Provision of a dedicated Member support team and liaison service to act as a single point of contact for all DRS services, answering enquiries and proactively keeping councillors informed of service performance, projects and issues. This includes regular newsletters, and production of reports and briefings to aid Member decision
  - Establishing and holding user forums to engage with communities and neighbourhoods, supported by the appointment of Community Liaison Officers to provide direct support in the community including guidance and advice to local groups and attendance at local meetings
  - Monthly Member and community communications reports to include: online leaflets highlighting programmed highways works and reactive maintenance; a regeneration report to highlight progress; town centre e-newsletters promoting centres and providing information relevant to businesses; use of social media targeted to local residents and businesses, providing updates on road works, status of projects and other local information
  - Development of a DRS insight function (Observatory) in partnership with Middlesex University to work with the council and NSCSO to better understand the profile, needs and priorities of residents. This Observatory will have an external portal to promote Barnet to attract internal investment and provide data for residents; with an internal portal to provide Members and Officers with access to data.

### A one public sector approach

CSL's proposal would see the provider take a leading role in co-ordinating effective local services, targeting needs, and engaging with public, private and voluntary partners to achieve the council and DRS partnership strategic objectives. To achieve this:

- Transferring services will be re-organised into a more customer orientated and efficient grouping, with appointment of senior managers to co-ordinate strategies and initiatives across partners. CSL will provide additional skills and resources to assist regeneration and

**Contractual commitments in CSL's Final Tender**

inward investment by progressing projects more swiftly including the four priority estates and Brent Cross and town centre strategies

- Establishing a Barnet Revolving Fund with an initial investment of £200,000 and £40,000 per annum to benefit all local stakeholders (public, private and third sector) encouraging sustainable growth. The use of the Fund will use a detailed investment analysis model to provide a means of increasing the impact of available funding such as New Homes Bonus, CIL and Business Rates (NNDR).
- Creating a business case to set up a social enterprise vehicle to support third sector providers to develop services or initiatives where a gap in the market exists
- Establishing a new A5/A406 corridor partnership in conjunction with Brent and Harrow with the objective of maximising growth, housing supply and employment
- Undertaking a Barnet-wide estates review with Barnet Homes and the NSCSO provider to identify opportunities for development including new housing and community-related facilities
- Galvanising the retail sector by engaging landlords to identify vacant high street premises and finding ways to bring them back into active use (e.g. through social enterprises or business start-ups), offering business support and advice, and supporting town centre traders to run effective forums to realise and market the full potential of each town centre
- Exploring options for tax increment reinvestment zones across town centres to incentivise growth by ring-fencing incremental Business Rates (NNDR) increases for re-investment

**A relentless drive for efficiency**

The bid guarantees maintenance of existing service levels and continuous improvement through the life of the contract.

- Delivery of efficiency savings through service re-structuring and productivity improvements. This will be delivered through investment in new technology, new management processes and the implementation of more flexible working (including mobile working) and training to introduce cross-skilling to better use existing resources
- Development of new and improved services to promote and sell to new customers, aiming to generate additional income for the council and DRS provider. This includes advice, consultancy support, and provision of top-up services for the full range of DRS services. Over 100 initiatives are proposed as part of a New Investment and Development Plan
- The establishment of a robust governance framework and the application of established business processes to monitor performance, manage and forecast workload and allocate resources more effectively e.g. between economic cycles
- Continuous improvement through the life of the contract supported by a combination of benchmarking and annual service reviews, transformation business cases and increasingly challenging performance targets over the life of the partnership. This is supported by the introduction of an 'Innovations Board' and 'Service Improvement Groups'
- Staff in frontline services will be better supported to do their jobs with investment in tools, data and processes, learning and development, accommodation, and a flexible working initiative.



#### 4.1. Joint Venture Approach

The offer includes the formation of a Joint Venture company by CSL and the council. This means that a new company will be formed with both the council (through its wholly owned company) and CSL as shareholders, and both will be represented on the Board of Directors. In addition the council has the right to propose the Chairman of the Board.

The joint venture company will have the contract with council for the provision of the DRS services.

This approach provides the council with a number of benefits as follows, it:

- enables the council to have a greater degree of control
- provides the transparency that helps ensure the council receives any profit due
- enable the council to trade more easily with other authorities
- may give some customers with greater confidence than trading with a purely privately owned company
- potentially continues to make profits after the end of the DRS contract

The offer is such that the joint venture approach does not weaken our guaranteed benefits or expose the council to any additional significant risk – ultimately the fulfilment of the contract is underpinned by a parent company guarantee provided by the CSL.

#### 4.2. Joint Employment

During the scoping of the Development and Regulatory Services (DRS) project and exploration of options it was acknowledged that there were a number of statutory duties and powers that were non-delegable under therelevant service specific legislation.

Throughout the competitive dialogue process the non-delegable duties were dialogued with bidders and the council decided to consider the option of joint employment. Joint employment would involve the staff in-scope for the DRS project transferring to the new provider under the TUPE Regulations 2006. Following the transfer there would be an offer of joint employment to the staff that had transferred to the new provider, affording the opportunity to continue to provide the non-delegable statutory duties as an employee jointly of the council and the new provider.

The commercial contract for each bidder had appropriate drafting agreed to allow for the option of Joint Employment and the drafting to insert into contracts of employment were provided by the council's legal team.

The council have carried out scenario planning for the application of joint employment on how both the council and new provider would manage this way of working, this will be finalised with CSL during contract finalisation and close.

Managers have held discussions with in-scope staff on the concept of joint employment during team meetings and Assistant Director (AD) Q&A sessions.

#### 4.3. The Public Services (Social Value) Act 2012 and Duty of Best Value

**This section will be reviewed following the outcome of the NSCSO JR**

The Public Services (Social Value) Act 2012 (the Act) received Royal Assent on 8 March 2012. It was brought fully into force by commencement order on 31 January 2013. The Act places a requirement on commissioners to consider the economic, environmental and social benefits of their approaches to procurement before the process starts. They also have to consider whether they should consult on these issues.

The Act requires authorities to make the following considerations at the pre-procurement stage: how what is proposed to be procured might improve the economic, social and environmental well-being of the “relevant area”; how in conducting a procurement process it might act with a view to securing that improvement; whether to undertake a consultation on these matters.

Whilst the Act was not in place at the DRS pre-procurement stage, the council has implemented best practice throughout the procurement and as a result has met the considerations and aims of the Act.

The Local Government Act of 1999 sets out a general Duty of Best Value for specified local government organisations to “*make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.*” Under the Duty of Best Value local authorities should consider overall value, including economic, environmental and social value, when reviewing service provision.

The Best Value Duty complements the approach in the Act, but there are some differences which are summarised in the table below:

**Table 4.2 - Best Value and Social Value Act comparison**

	<b>Best Value Duty</b>	<b>Public Service (Social Value) Act</b>
Duty	Consider value (including social value)	Consider how to improve social, economic and environmental well-being
Body	Local authorities	All contracting authorities
Contract	Services, goods and works	Services only
Procurement stage	Throughout the process	Pre-procurement
Value of contract	Any value	Only above relevant EU procurement thresholds
Consult?	Yes – representatives under s3(2)	Yes – on the service being provided

In line with the Cabinet Office’s lean standard operating process, which places a heavy emphasis on engagement with supply markets before procurement processes commence, the DRS project held a market testing session as part of the options appraisal and a Market Day after the OJEU notice was published. At these events the council laid out its intentions and sought feedback and challenge from the market.

DRS made use of the supplier market place in this way both pre-procurement and indeed during competitive dialogue to enhance the process and gather best practice from supplier organisations. A number of these organisations were applying new and innovative approaches to service delivery in their existing businesses, which had the advantage of these approaches having been used in a live environment and enhanced by the public response.

The evaluation criteria (see Section 9 - Table 9.2) were developed to capture the need to meet economic, social and environmental well-being. This is underpinned by a set of performance indicators, recognising the strategic intention to maintain Barnet as a successful place and the need to be proactive in driving social, economic and financial benefits for the borough, encouraging local economic growth whilst keeping it a green and pleasant suburb.

In proceeding with a competitive dialogue procurement process the council engaged in in-depth discussions from the onset to develop solutions with bidders in line with the council's strategic objectives. Both bidders' Final Tenders met or exceeded these objectives.

## **5. Equalities Impact Assessments**

Equality and diversity issues are a mandatory consideration in decision making by the council pursuant to section 149 of the Equality Act 2010. This means the council and all other organisations acting on its behalf must have due regard to the equality duties when exercising a public function.

The three limbs of the public sector equality duty involve the need to:

- eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act;
- advance equality of opportunity by removing or minimising disadvantages experienced by people due to their protected characteristics, meeting the needs of particular groups and encouraging under-represented groups to participate in public life; and
- foster good relations between those sharing and those not sharing protected characteristics by tackling prejudice and promoting understanding.

The duty is a continuing one, and equality considerations are required to be integrated into all stages of the procurement, commissioning and decision making process. The duty extends to the council's procurement of goods, works and services from external providers, and equality considerations must be embedded in the council's relationship with its suppliers.

The protected characteristics under Equalities legislation are:

- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity (including teenage parents)
- race
- religion or belief
- sex
- sexual orientation

The council has assessed the staffing and service changes being proposed by both bidders as part of their Final Tenders, and considered whether their proposals will have an impact on customers or employees with any of the protected characteristics in terms of three limbs of the public sector equality duty – discrimination, equality of opportunity, and good relations.

Two equalities impact assessments (EIA) have been completed by the council for each bidder:

1. Customer
2. Employee

These EIAs assesses the impact of the proposals on current service delivery models from the point of view of the groups with protected characteristics.

Undertaking the EIAs is consistent with the council's Equalities Policy which states as two of its principles, among others, the following:

- "Supporting employees in increasing their understanding of equalities issues through regular development programmes" and,
- "Building on policies to ensure inequality and discriminatory practice does not occur."

Throughout the mobilisation period and life of the contract, all service change proposals from CSL will be properly considered to ensure that due regard has been given to the public sector equality duty. This will include appropriate publicity and consultation and equalities impact assessments, prior to any changes being implemented, with the results informing council approval and any subsequent decision whether to put them into effect or not. The council will ensure that this happens.

The council will keep the EIAs under review through the mobilisation and contract period to:

- identify any changes;
- ensure that mitigating actions identified are implemented; and
- ensure that any necessary consultation and communication activities are taken with regard to specific change proposals, prior to any implementation decisions being taken.

### **5.1. External Equalities Impact Assessment (customer)**

The purpose of the external Equalities Impact Assessment (EIA) is to understand the impact of the proposed externalisation of the 11 Development and Regulatory Services (DRS) on the way services are being delivered to the diverse customer profile of the council.

This assessment provides a detailed examination and analysis of the proposals against existing arrangements promoting equality, and how the proposals address current equality issues and customer feedback. It also offers an approach/mechanism to monitor the implementation of the key equality-related commitments (explicit or implicit) within the bidders' proposals.

During the earlier stages of the procurement process, the council developed output specifications for each service. The output specifications provide minimum service levels and compliance with statutory and non-statutory service standards which includes provisions on equality and diversity. Those output specifications, which go beyond the minimum standards, are contractually binding for the winning bidder.

### **5.2. Internal Equalities Impact Assessment (Employee)**

The Equalities Impact Assessment (Employee) (EIA) has been written as a live document to explore the impacts on the staff through the project and is assessed throughout at key milestones. The final iteration of the EIA will be completed post contract award and after the transfer of staff to the new provider.

The DRS procurement was initiated to meet financial pressures, invest in services, preserve and improve on service levels. The solution in the final tender from CSL meets these requirements and focuses on income growth, an £8.2 million investment in services and the sale of services to other Authorities.

The impact the transfer will have on staff ranges from training, leadership development programmes; Continuous Professional Development, skills enhancement; succession planning and talent management; opportunities to work on innovative and new projects, to a guaranteed investment in training of circa £500 per person per annum.

CSL has committed to adding commercial skills and acumen to the services to enable individual development and growth of the business.

CSL intend to bring an additional 30 posts into the Barnet contract for the first year of the contract. The figures in table 7.1 show 30.1 posts removed from year 2 FTE figures then shown as stable for the remainder of the contract.

The Internal EIA base data in Appendix B shows that in a number of these categories the greater characteristic is not by a significant number, for example gender. This has remained around circa 47%/53% female/male split. This means that changes to the transferring group are more likely to affect a higher percentage of men than women

The make up of the transferring group is greater in the following areas:

- Gender: Male
- Age: Born between 1964 and 1951
- Ethnic Group: White British
- Disability: no disability; where there are a limited number of individuals with declared disabilities, these have been aggregated
- Religion or belief: Christian
- Sexual orientation: Heterosexual
- Marriage and civil partnerships: Married

### 5.3. Summary Equalities Impact Assessment of CSL

The council has assessed the staffing and service changes being proposed by CSL as part of its Final Tender, and considering whether it will have an impact on customers with any of the protected characteristics in terms of the three limbs of the public sector equality duty.

Having considered these issues in detail, it is the council's view that the overall impact on all groups with protected characteristics in the borough in terms of their access to and use of these services, the council's ability to tackle discrimination and advance equality of opportunity, is likely to be neutral with a potential to be positive in time. There is also likely to be a neutral impact on good relations between those sharing and those not sharing protected characteristics. However, these assessments will be kept under review throughout the mobilisation and contract period.

The reasons for the current assessments are as follows:

- The neutral assessments are based on the following key points:
  - CSL will retain activities or measures currently undertaken by the services which promote the public sector equalities duty.
  - CSL will fully comply with the council's Equalities Policy and Equalities legislation.
  - CSL will undertake EIAs when any changes to services are being considered prior to their approval and implementation.
- The potential positive impact in time is based on the following key points:
  - CSL will be introducing a number of service improvements that will enable better data about customers to be collected, analysed, and shared so that services can be

better designed and targeted to customers. These service improvements include the use of the following: Community Liaison Officers, end user satisfaction surveys, annual client satisfaction surveys, service improvement groups, formal customer feedback, outbound telephone surveys, outbound automated surveys, use of MORI and mystery shopping.

- CSL will enable multi-channelled delivery and the ability to bundle services in ways that relate to customer need and put that at the heart of service delivery.
- CSL will train staff on equalities which will help support more appropriate service delivery methods.
  
- The negative assessments are based on the following key points:
  - CSL's proposal for a greater use of automated and web self-service channels and social media may negatively affect certain groups with protected characteristics. These would include older people who might not be IT literate, disabled people who cannot use a computer/phone, and people whose first language is not English.
  - There is no indication within the CSL proposal of benchmarking with national indicators available to compare and inform current and future service provision.

The full Equalities Impact Assessments for CSL's proposals are provided as Appendix B to the Full Business Case.

## 6. Risks

### Introduction

The commercial case for this partnership is supported by a contract under which a number of risks relating to the delivery of the benefits set out in Section 4 are transferred in whole, or in part, to CSL and the joint venture. The council has followed the principle of transferring only those risks that are economic to transfer, testing each of the key areas as part of the competitive dialogue process. A summary of the key commercial risk areas identified by the council is provided in the table below, following which the proposed contractual protection and/or mitigating activity is described in more detail.

**Table 6.1: Key Commercial Risk Areas**

Risk Area	Causes	Owner	Consequence	Control
Financing	Insolvency	Partner	Company collapses and potentially abandons the contract	There are financial distress provisions in the contract. A parent company guarantee will be in place
	Change in ownership	Partner	New provider/owner in place	There are restrictions in the contract on the types of organisation that are allowed to take on the contract, plus rights in the joint venture agreement
	Inability to source investment capital	Partner	Investment not forthcoming	CSL has been financially vetted. Financial standing tests from PQQ stage were re-run, showing no material change. A parent company guarantee will be in place
	Provider is unable to effectively manage its costs or secure sufficient income	Partner	Guaranteed financial benefits to the council not realised	CSL is required to top up any shortfall in guaranteed financial benefit. If it fails to then we will reduce our payments to them. A parent company guarantee will be in place  <b>Note:</b> should the parent company fail financial standing tests we have set then in place of a parent company guarantee the provider

## Appendix 1

Risk Area	Causes	Owner	Consequence	Control
				will be obliged to put in place another form of surety such as a performance bond.
Core Service Performance/ Availability	Inadequate specification	Council	Service delivery below the required standard	Extensive work and review has been done on specifications
	Inadequate design / Inadequate resourcing / Inadequate methods	Partner	Service delivery below the required standard	Performance deductions can be applied as a result of key performance indicator failures. Step-in or termination if issues are severe.
Resilience	Force majeure event	Council	Service delivery suspended or below the required standard	Business continuity plans will be implemented
	Inadequate business continuity arrangements	Partner	Service delivery suspended or below the required standard	Step-in or termination can be implemented by the council.
	Inadequate transition arrangements	Partner	Initial service delivery below the required standard	Performance deductions applied as a result of key performance indicator failures.
	Inadequate exit arrangements	Council	Service delivery below the required standard	Need to bring in additional temporary resource
Ongoing VFM of core service	Inflexible design	Partner	Service do not evolve to meet changing needs	There are change provisions within the contract. Performance deductions can be applied as a result of key performance indicator failures.



## Appendix 1

Risk Area	Causes	Owner	Consequence	Control
	<p>Change in council priorities/policies</p> <p>Provider does not remain at the forefront of developments</p>	<p>Partner/ Council</p> <p>Partner</p>	<p>Services become increasingly detached from council policy</p> <p>Above market costs or service quality below that of peers</p>	<p>There are change provisions within the contract. Performance deductions can be applied as a result of key performance indicator failures.</p> <p>Benchmarking will be carried out at three times throughout the contract plus annual service reviews</p>
Volume / change in demand	Demographic Changes, or policy changes requiring focus on certain activities e.g. more Trading Standards inspections	Partner/ Council	Higher costs for the service provider or council	Volume related payments have been agreed in the contract. Increased costs are offset in some instances by increased income
Joint venture	<p>Joint venture has an increased risk of facing financial difficulties as it has lower capital reserves than the commercial partner</p> <p>Joint venture (JV) arrangement would transfer less risk to a partner than a standard contract.</p> <p>Primary bidders compete with joint venture (JV).</p>	<p>Partner/ Council</p> <p>Council</p> <p>Council</p>	<p>Supplier failure leads to the contract being unfulfilled</p> <p>Greater risk borne by the council potentially leading to higher costs</p>	<p>The joint venture agreement ensures that:</p> <ul style="list-style-type: none"> <li>a) CSL would fund the joint venture capital and business development costs and</li> <li>b) they will provide a Parent Company Guarantee.</li> </ul> <p>The contract with the joint venture would contain the same performance and financial requirements and guarantees as a direct contract with the bidder.</p> <p>Included in the joint venture agreement of a clause to prevent competition within a pre-agreed geographical area for DRS services.</p>

**Appendix 1**

<b>Risk Area</b>	<b>Causes</b>	<b>Owner</b>	<b>Consequence</b>	<b>Control</b>
Financial Probity	Lack of transparency in partnership finances	Partner/ Council	Council does not obtain all the financial benefit it is due	There will be open book accounting and audit rights, plus rights as a joint venture company Director and shareholder
	Uncertainty over what is in or outside the core price	Council	Unanticipated cost increases	Extensive work and review has been done on specifications
	Weak project commercials	Council	Council does not obtain all the financial benefit it anticipated	Extensive work and review has been done to commercial elements
	Unilateral exploitation of intellectual property by partner	Council	Council does not obtain all the financial benefit it is due	The contract is clear on our intellectual property rights and we have open book accounting and audit rights, plus rights as a joint venture company Director and shareholder
Non-delegable Statutory Functions	A number of statutory functions within the DRS cluster carry out non-delegable statutory functions	Council/ Partner	If the Council were to do nothing there would be a number of statutory functions that could not be carried out by the Partner.	There will be Joint employment of staff by both the council and the Partner. Joint employment will allow the employee to transfer to the Partner under TUPE whilst continuing to perform the necessary non-delegable functions of the role.

## 7. Impact on Staff

### 7.1. Terms & Conditions

Terms and conditions of employment are protected through the Transfer of Undertakings (Protection of Employment) Regulations 2006 as part of a service provision change. Over and above this the council implemented the Barnet TUPE Transfer Commitments following discussions with the Trade Unions. These TUPE Transfer Commitments will apply to any transfer of staff to a new employer for the foreseeable future, specifically but not solely under the One Barnet Programme.

CSL has stated that all transferring staff will have their continuous service preserved under TUPE and that all their contracts of employment will transfer, with staff retaining their key contractual transferring terms and conditions such as annual leave, grade and pay entitlements.

Staff will remain in the Barnet Local Government Pension Scheme (LGPS) for the duration of the ten year contract. Following the new regulations on auto-enrolment the new provider will enrol all eligible transferring staff into the LGPS pension, staff will be required to opt out if they do not wish to pay into an organisational pension.

In terms of location, it is the stated intention of CSL to remain within Barnet to deliver the cluster of services. As the DRS partnership grows commercially, transferring employees may be required to travel outside the borough in order to work on specific projects in line with business needs.

Prior to transfer CSL will provide staff with a terms and conditions matrix which will reflect the outcome of the Measures consultation with the Trade Unions. However, any entitlements to pay, for example, maternity, paternity and company sick pay will remain.

### 7.2. Transfer & Mobilisation

CSL will provide an experienced transition team to mobilise the DRS contract. The team will be based on site and available to coach, mentor and support transferring staff.

Over 70% of CSL's existing 45,000 staff have transferred to Capita under TUPE from previous employers or through acquisition. Over 40% of those are from Local Government.

CSL will provide a full communication and engagement plan to integrate staff into new organisation quickly and effectively to encourage a level of comfort for staff.

A key part of the mobilisation process is the consultation on measures. This will be carried out with the Trade Unions as part of the Tripartite meetings between Barnet, CSL and the council's recognised Trade Unions.

### 7.3. Learning, Leadership & Development

CSL will provide a number of opportunities for transferring staff with regard to learning, leadership and development. These opportunities will provide valuable development for staff that the council have not always had the finances to provide whilst offering an improved service in some circumstances and the grounding for growth in all services.

Development of the staff will involve the post-transfer offer of opportunities to work on innovative and new projects, continuous professional development and skills enhancement, as well as the right tools to allow staff to excel in their roles, succession planning and talent management.

CSL will invest £500 per person per annum an average 5 days per person per annum in training and development over the life of the contract.

Following transfer CSL will provide staff and manager care programmes including mentoring for every transferring manager and skills mapping to identify training needs.

CSL sees staff development as key and will appoint an Organisational Development Co-ordinator from within the transferring staff in scope as part of their commitment to the council.

CSL offers all staff the opportunity to take part in their vocational learning programme. This programme offers the opportunity for each member of staff to obtain a NVQ qualification up to a Level 3 if they have not already reached this level of education.

Professional accreditation is key within this cluster of services and CSL will support existing professional development plans including one annual business relevant professional subscription per person per annum.

CSL has committed to adding commercial skills and acumen to the services to enable growth and developing existing staff and managers with new skills to maximise flexibility.

#### **7.4. Service Transformation & Restructure**

CSL intends to minimise the impact of redundancy through growth into other partner organisations, redeployment throughout other CSL businesses, managing vacancies, temporary staff and natural shrinkage.

**Table 7.1 DRS Staff Numbers**

	<b>FTEs on TUPE list</b>	<b>Year1</b>	<b>Year2</b>	<b>Year6</b>	<b>Year10</b>
Planning	44.6	46.6	42.6	42.6	42.6
Land Charges	3.6	8.1	3.1	3.1	3.1
Building Control	15.6	15.6	15.1	15.1	15.1
Environmental Health	46.1	47.5	42.5	42.5	42.5
Trading Standards	4	4.4	4	4	4
Hendon Cemetery & Crematorium	10	16.5	18	18	18
Highways Strategy	1	1	1	1	1
Highways Network Management	30.9	43	38.6	38.6	38.6
Highways Traffic & Development	21.6	24.2	19.7	19.7	19.7
Highways Transport & Regeneration	12.7	12	7.7	7.7	7.7
Strategic Planning	10.3	12.8	12	12	12
Regeneration	22	21	18	18	18
<b>FTE total</b>	<b>222.4</b>	<b>252.7</b>	<b>222.3</b>	<b>222.3</b>	<b>222.3</b>

### **7.5. Communication & Engagement**

During mobilisation CSL will provide a detailed communications plan which they will work on with the council, this includes:

- Inform and consult with Trade Unions and staff
- Working collaboratively with TUs to ensure consistency of message
- Team manager sessions on HR processes and relevant provider information
- PeopleCare programme including welcome presentation, induction, staff bulletins, confidential email helpline, staff drop in sessions, one-to-one meetings, regular Q&As
- ManagerCare programme is an extension of the PeopleCare programme to support managers
- Staff briefings considering various groups of staff including varying work patterns and locations

CSL intends to hold a staff satisfaction survey and pulse survey within the first 9 months of the contract and understand where further engagement would be best placed.

CSL has committed to engage with trade unions as part of consultation on any restructures post-transfer.

### **7.6. Benefits**

Amongst other organisational benefits CSL has committed to honour 100% of existing flexible working arrangements for transferring staff. However, should business needs dictate that some local arrangements no longer work for the business, they reserve the right to discuss this with the employee.

## 8. Financial appraisal

### 8.1. Financial implications

The **baseline budget** for the services in scope for DRS is £14.5m (expenditure). £0.3m is allocated to retained client functions, leaving a baseline of **£14.2m** attributable to the DRS contract. This is set out in the table below:

**Table 8.1 - Baseline**

Expenditure baseline	£m
Baseline for in scope services	14.5
Retained client	(0.3)
DRS baseline	14.2

The services in scope for DRS include income budgets totalling **£9.7m** per annum. Income growth is key to CSLs' bid. The offer commits to net income growth of 34% over the contract term (£97m to £130m).

**The guaranteed financial benefit** over the contract term is £39.1m. The council is under no obligation to give its consent to any of CSL's proposals. The guaranteed financial benefit is CSL's risk.

The guaranteed financial benefit is comprised of the following:

**Table 8.2 - The guaranteed financial benefit**

Cost reduction /Income increase	Service	Description <sup>3</sup>	Guaranteed benefit (£m)
Cost reduction	All	Reduction in core operating costs of 21% (with 4.5% reinvested) to enable service development, 3.5% net saving to Barnet and 13% CSL partner fee	5.3
Income increase	Planning	National Planning fee increase moderated by prudent volume assumptions	1.7
Income increase	Hendon Cemetery & Crematorium	Pre-purchased graves, Extended opening hours, Additional cremation activities	4.3
Income increase	Highways	Streetworks management (coring), highways advertising	9.8
Income increase	All	Guaranteed proportion of commercial development across all services & installing Barnet as CSL hub in the South East	18.0
		<b>Total</b>	<b>39.1</b>

<sup>3</sup> The description of benefits sets out the expected activities that will achieve the total benefits. However, should any of these activities prove to be unviable, the joint venture is obliged to develop alternative proposals to meet the guaranteed financial benefit rather than it being reduced.

The **Medium Term Financial Strategy (MTFS)** agreed by council in March 2012 included savings attributable to DRS totalling £2.78m per annum. This reflected the prudent estimate of benefits from the DRS business case. Since that point, Cabinet on 25 February 2013 set out additional savings requirements of £0.4m for DRS for the years 2014/15 and 2015/16, reflecting the likely further cuts to public expenditure that will follow from the existing 2010 spending review settlement. So when taken together, the total savings requirement for DRS over the period 2013 to 2016 is £3.18m.

The guaranteed financial benefits arising from CSL recommendation come from net savings on the core transferring services as a result of a reduction in expenditure and increases in income. Financial benefits are as follows:

**Table 8.3 - MTFS Impact**

<b>Guaranteed savings (cumulative)</b>	<b>2013/14 (£m)</b>	<b>2014/15 (£m)</b>	<b>Contract term Total (£m)</b>
December 2011 savings target on core transferring services	1.53	2.78	26.5
CSL guaranteed savings	1.54	2.80	39.1
<b>Target exceeded by:</b>	<b>0.01</b>	<b>0.02</b>	<b>12.6</b>

The table above demonstrates that the original savings target derived from the Outline Business Case (£26.5m) has been exceeded in CSL's offer by £12.6m and that the target for 2013/14 and 2014/15 as per the existing council budget is also met.

The additional savings target included in the Cabinet report of 7 November relating to DRS amounts to a further £0.4m saving required by 2015/16, i.e. £3.18m. CSL offer includes guaranteed savings of £4.06m by 2015/16, exceeding the target by £0.88m.

The savings on core services as set out above (£39.1m over 10 years) exceeds both the current MTFS target and the additional MTFS targets out for consultation. Any additional savings to the council both through guaranteed financial benefit over and above the target and further commercial development will not be directly factored into the MTFS at this stage, but if realised will help the council to meet their additional savings targets beyond 2015.

**Partnership Investment, contracts and assets** - Approximately £8.2 million of investment is to be provided to transform the services. This investment is spread across the services and may be categorised as follows:

**Table 8.4 Partnership Investment Summary**

<b>Category</b>	<b>Service Area(s)</b>	<b>Main initiative(s)</b>	<b>Investment £m</b>
IT & Systems	All	Specialised apps, desktop solutions	6.0
Research & Training	All and in particular Regeneration; Environmental Health, Trading Standards & Licensing	Regeneration research & revolving fund; Training for Environmental Health & Trading Standards	1.8

Infrastructure	Hendon Cemetery & Crematorium	Buildings and groundworks at Hendon Cemetery & Crematorium	0.4
<b>Total</b>			<b>8.2</b>

On service transfer the council will hand over to the joint venture a range of contracts and assets used currently in the provision of the services. Once contracts are novated the partner will manage each contract with the relevant suppliers and then in the future may renew, replace or otherwise build into their own supply chain as necessary to provide the transformed services.

The council will contribute the assets currently used in the provision of the specific DRS services to the joint venture. This allows the council to transfer ownership risk to CSL whilst at the same time reducing their initial investment requirement and so allowing them to reduce the price to the council. Some of the assets will be transferred in their entirety whilst for others (primarily those with an expected life and council need beyond the planned duration of the partnership). CSL will be granted the ability to use the assets for the duration of the partnership without ownership transferring.

A detailed asset register with the assets categorised in this way has been prepared and was available to bidders through the dialogue process. The council has the option to acquire from the partner such assets as it needs to continue the services following any form of termination of the partnership. Where any assets used at the point of termination are shared (for example IT platforms acquired through the course of the partnership that are used to service other CSL clients), the council will be granted access to use these on reasonable commercial terms.

**Project costs** have been funded from the council's transformation reserve. Project costs are expected to total £2.5m project completion. Project costs have increased since the 2011 projection due to the external advice required plus the change in project timescales.

**Net present values and indexation** – all figures included in this report are stated at current prices. Within the contract, indexation clauses enable the contract price to be amended to reflect inflation over time. For staff related costs, this is pegged to the local government pay award. For non-staff related operational costs, this is pegged to CPI. The guaranteed financial income is also indexed to CPI, so that inflation does not devalue this guaranteed benefit to the council over the course of the contract.

**Discounted cash flow and profiling** – the timing of financial benefit realisation is an important part of the project. The payment profile and pace evaluation criterion (see Section 9 - Table 9.2) applied the following two tests to bidders' guaranteed financial benefit figures:

1. Bidders were required to meet the MTFs targets for the first two years of the contract as set out in table 7.2
2. As both bidders satisfied (1) above, a discounted cash flow analysis was applied to the total guaranteed financial benefit offer to take into account the time value of money

**Commercial Development** is an important part of the bid. CSL have included plans to grow revenue significantly over the term of the contract, resulting in further financial benefit to the council



## 8.2. Sensitivity analysis

Variations in certain volumes lead to agreed increases in price as set out in the table below. CSL's offer includes price revisions if volumes fall outside the tolerance parameters of 95%-110% of base volumes.

		Cost to LBB (incl Preferred Bidder margin at base volume)	Price Revision 92.5%	Price Revision 95%	Price Revision 110-115%	Price revision 115%-120%
		£	£	£	£	£
Environmental Health	Handling Environmental Health complaints	842,756	-63,207	-42,138	84,276	147,482
Environmental Health	Carry out planned inspections	293,000	-21,982	-14,655	29,310	51,292
Environmental Health	Handle pest control complaints	127,348	-9,551	-6,367	12,735	22,286
Trading Standards	Handling complaints	37,854	-2,839	-1,893	3,785	6,625
Trading Standards	Process Licensing complaints	3,549	-266	-177	355	621
Highways Strategy and T&D	Development team	404,402	-30,330	-20,220	40,440	70,770
Highways Network Management	Handle HNM complaints	434,388	-32,579	-21,719	43,439	76,018
Planning	Enforcements	96,541	-7,241	-4,827	9,654	16,895
Planning Strategy	Major Development	190,179	-14,263	-9,509	19,018	33,281

For many volumes, however, there is no increase in core price as the volumes relate to income generating activity (e.g. more land charge searches). The increase in income offsets the increased cost and the core price does not go up. So, although there will be an increased payment to the provider, this will be offset by at least as large an increase in income.

It is true 'change' in general could be used to generate increased profits for a private sector partner to the cost of the public sector partner. The council's contractual approach has been very much informed by this and the contract addresses this in a number of ways e.g. through an element of cost share with the provider on certain changes and with the use of protocols that require the provider to propose alternatives prior to implementing cost increases

**Other financial and balance sheet considerations** – it is not expected that this contract will give rise to, or affect any current contingent liabilities. This contract will not affect the council's position in terms of recovery of VAT.

### 8.3. Value for Money and Benchmarking

Ongoing value for money is an important consideration throughout the life of any contractual arrangement. A number of contractual protections exist to ensure that this can be monitored and achieved.

- a) benchmarking provisions are included within the contract, enabling the council to undertake a comprehensive independent benchmarking of the services twice through the life of the contract, with an obligation on the service provider to ensure that the contract price falls in line with the outcome of benchmarking where it is higher than expected at that point in time.
- b) there are provisions for year 4 and year 7 reviews with the contract. This signposts a more fundamental review of the direction of the partnership, and whether outcomes being delivered both financially and non-financially meet the changing needs of the council and its stakeholders at that point in time. The timing of these reviews is designed to tie into the council's financial planning cycle. As noted above, the financial benefits within this contract enable the council to exceed its MTFs targets for 2013-16. However, by 2017, further financial challenges may exist, and the year 4 review is the appropriate mechanism to ensure the contract is flexible enough to deal with circumstances prevailing at that time.

### 8.4. Financial Probity

The council has secured a fixed price for the delivery of the specified core services.

However:

- (i) this price will change due to inflationary (indexation) adjustments on an annual basis;
- (ii) the price may change if the council requires the scope or standards of service to change;
- (iii) projects and commissions will require new costed business cases from time to time;
- (iv) the council will wish to avoid any excessive profiteering by the partner through sharing of overall returns;
- (v) foreseeable but as yet not fully defined issues such may require a change in scope and therefore cost and the council needs to ensure that any changes to cost are reasonable;
- (vi) unplanned but contractually possible events such as early termination would bring costs for both sides and the council will wish have certainty over its exposure in such circumstances.

In order to protect itself the council will need to have transparency of financial information and the measures put in place to provide this are:

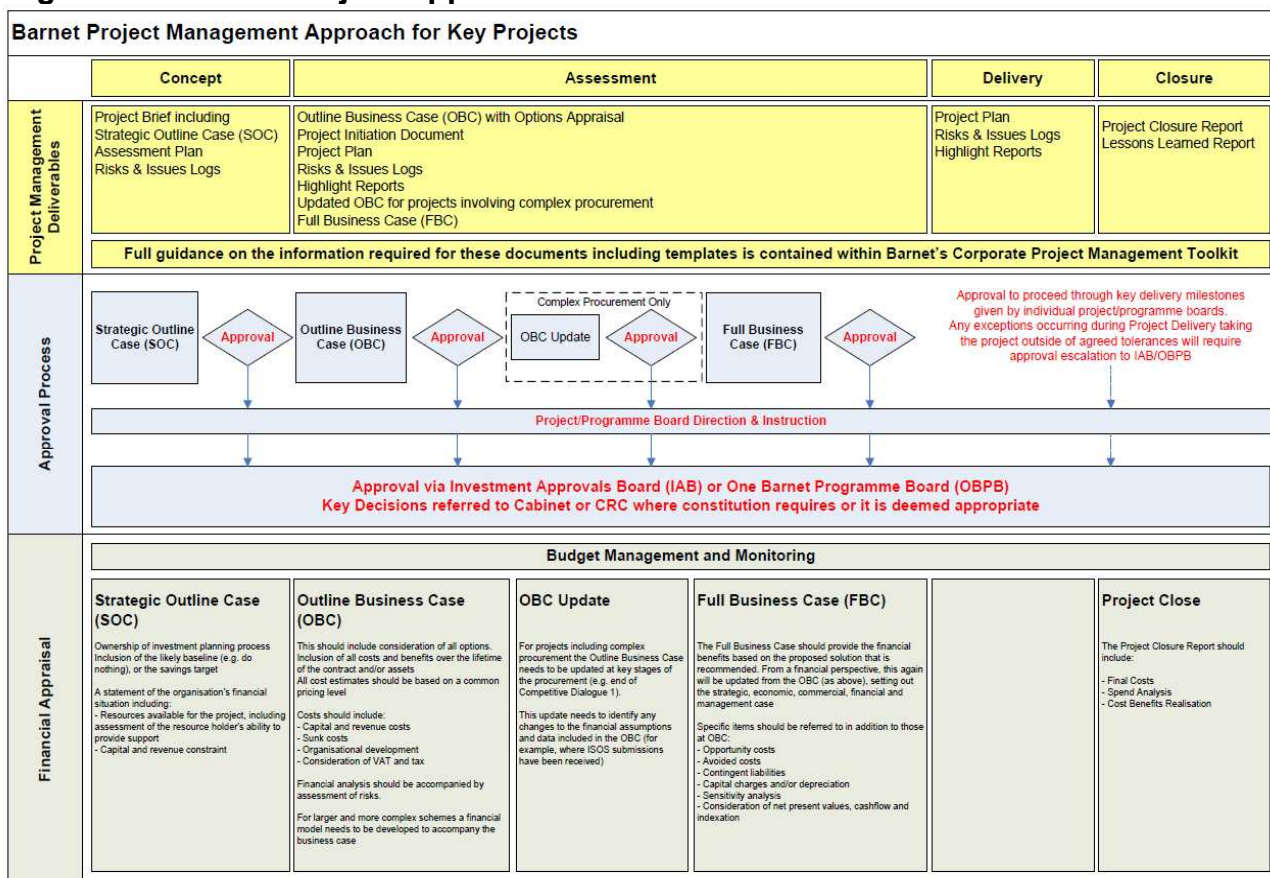
- (i) inclusion of detailed financial model in the contract, including compensation on termination calculations
- (ii) open book accounting requirement for relevant partner costs
- (iii) the council has audit access rights to establish the source of any cost charged to the partnership
- (iv) the contract has a 'super profits' clause requiring any partner return over an agreed threshold to be shared with the council
- (v) the contract has schedules of day rates to inform the costing of projects and other ad-hoc activity;

- (vi) the contract has a weighted index for inflation that recognises the proportionate split between costs affected by wage/price inflation (and uninflated costs). This provides certainty over any annual service price rises in time to be incorporated into the council's own budget processes.

## 9. Project Approach

The project has followed the standard Barnet project management methodology as set out in Barnet's Project Management Toolkit and has been subject to routine audit reviews during its duration. The full project process is shown below:

Diagram 9.1 Barnet Project Approach



The DRS Project Board has met regularly over the course of the project receiving status reports and key risks and issues. The board is chaired by the Project Sponsor, Pam Wharfe, Director for Place and includes Project Director, Martin Cowie, leading on service delivery; Commercial Director, Craig Cooper; Commercial Lead, Jason Walton; the Project Manager and Procurement, Legal and Finance officers. Any matters requiring further escalation or are a programme-wide risk, are reported to the One Barnet Programme Board. The One Barnet Programme Board also receives regular updates on the project's key risks and issues.

The procurement has followed a standard competitive dialogue approach following the initial short-listing exercise where four bidders prepared and submitted outline solutions. Following evaluation and down selection, detailed solution dialogue was conducted with EC Harris and CSL.

The evaluation has been conducted against the criteria published in the OJEU notice which was published 17 March 2011 and the Invitation to Submit Outline Solutions circulated to all four bidders.

**Table 9.2 DRS Evaluation Criteria**

<b>Criteria</b>	<b>Weighting %</b>
<b>People and Place</b>	<b>43</b>
Capturing financial, economic and social benefits of major regeneration projects and return to the Borough	8
High and measured customer satisfaction	7.5
Compliant, high quality service delivery	5.7
Services joined up with other public, private and third sector organisations	4.6
Continuous and innovative improvement in service delivery	4.6
Effective consultation and engagement	4.6
Effective HR practices and professional development	4.6
Maximise opportunities from central government for the benefit of the Borough	3.4
<b>Flexibility and Risk</b>	<b>14</b>
Flexibility in the contract	5.6
Align with council's strategic objectives, now and over time	5.6
Ability to transfer risk	2.8
<b>Financial and Commercial</b>	<b>43</b>
Guaranteed financial benefit	12.7
Maximise the commerciality of the services	12.7
Payment profile, including pace	7.8
Price performance mechanism	6.8
Guaranteed investment	2.9

Final Tenders from both bidders have been reviewed against this submission using a tiered evaluation.

Between two and three technical evaluators from each of the in-scope services individually reviewed bids against the output specifications they had provided noting strengths, weaknesses, risks and issues. They then met as a group, with a member of the council's procurement team acting as a facilitator, to reach a consensus score.

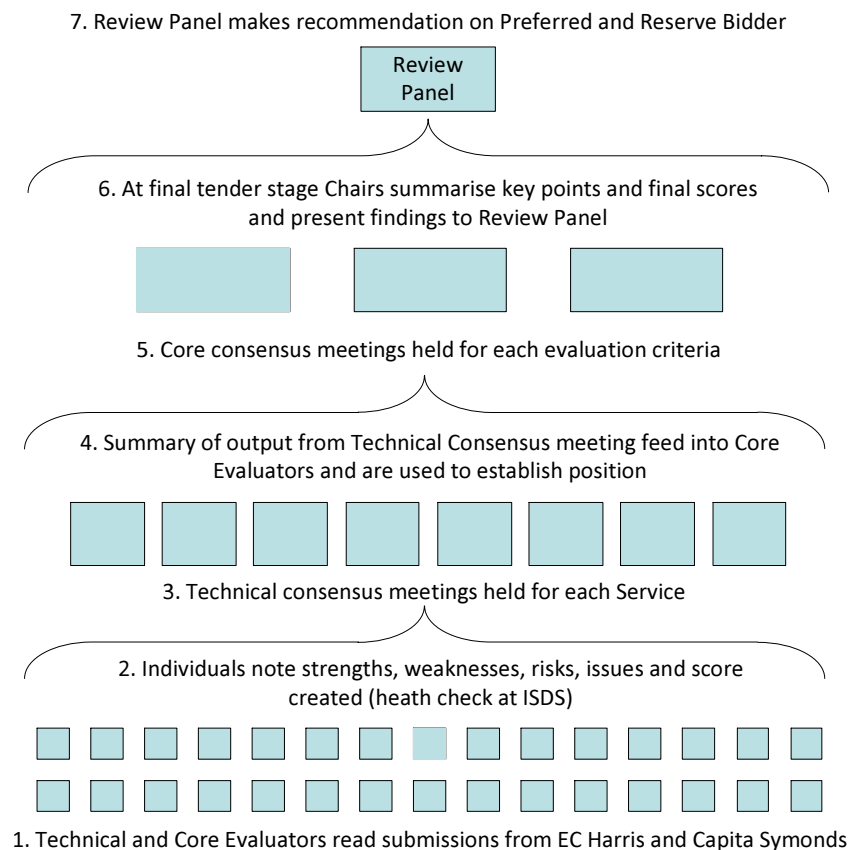
Output from the technical evaluators' consensus meeting was then fed into three core groups – one each for 'People and Place', 'Flexibility and Risk' and 'Financial and Commercial'. Each group had a senior management level chair who was also responsible for feeding into a final evaluation report. All members of the Core team independently reviewed bids and, with the exception of the Chair, noted their strengths, weaknesses, risks and issues. Core evaluators then met to arrive at their own consensus score with a member of Procurement facilitating.

This process was used for the review of Detailed Solutions, received on the 22 October 2012, and then repeated for the evaluation of Final Tenders, received on the 2 January 2013. Both groups were able to raise clarification questions at Detailed Solutions stage and reflect bidder responses into their final appraisals and scores.

Chairs prepared evaluation reports which summarised the final position for each bidder. These reports were presented by Chairs to the Review Panel which met on the 28 January. Review Panel members had the opportunity to challenge the Chairs on their positions before agreeing a recommendation to be put forward.

The evaluation process is summarised in the following diagram:

**Diagram 9.3 DRS Evaluation Process**



**9.1. Mobilisation**

The project will move into the mobilisation phase once the Business Case has been approved by Cabinet (subject to Post-decision Scrutiny)

The approach to mobilisation will combine where appropriate similar activities for both DRS and NSCSO. Therefore, to aid knowledge sharing and to make the most effective use of resources, it has been decided to combine both projects in their final phase into the Transition and Mobilisation Programme. It will also link the other activites underway within the council, notably the implementation of the model for the retained organisation and the implementation of our Information Management Strategy.

The deliverable from mobilisation will be the transfer of all in-scope staff, data and assets for the DRS services covered within this business case.

Mobilisation will formally commence when the Alcatel period (this being a stand-still period within the procurement process in which unsuccessful bidders have the opportunity to challenge the decision) ends. The project will be delivered through a number of key work-streams with a programme manager, supported by a team of project and business specialists directing and managing the programme. The work streams and their main activities broadly cover contract compliance, implementation & finance, operations, communications & engagement, information management, HR and governance.

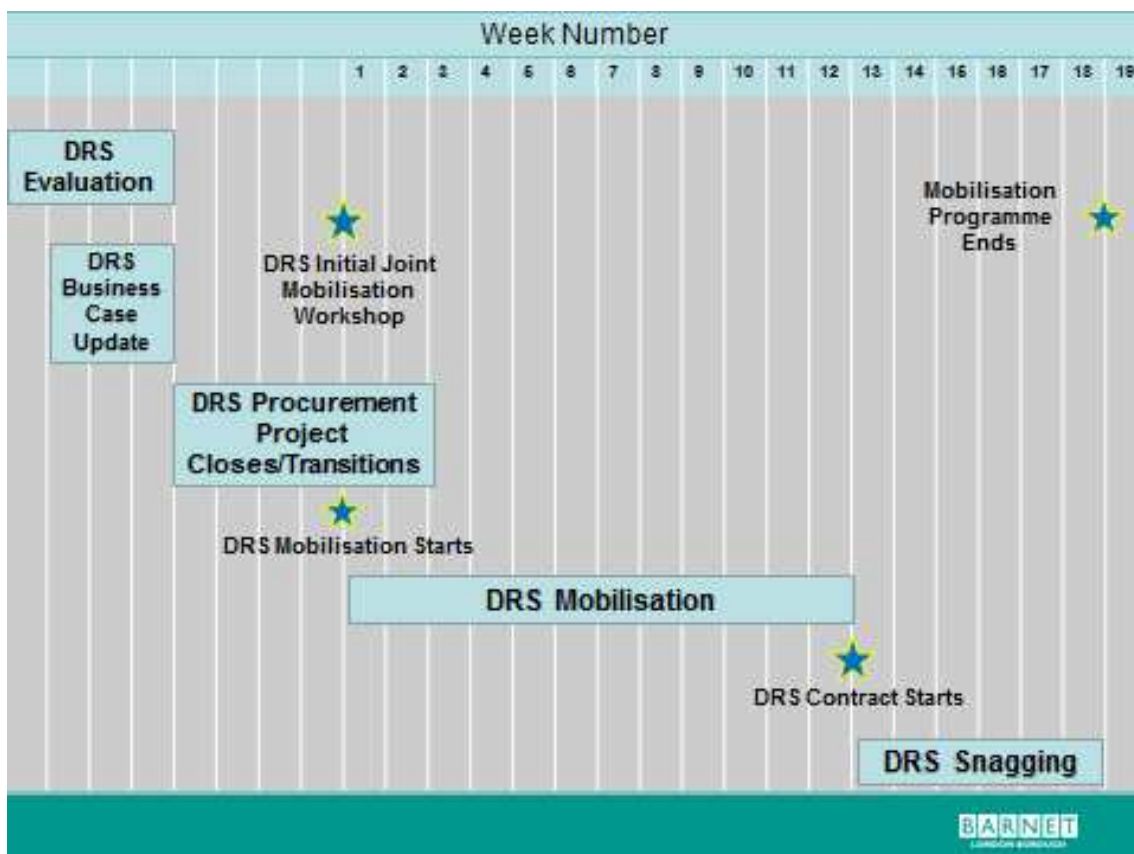
There are a number of key stages after the governance process is complete, for the lead in and completion of mobilisation. These are:

- Preferred bidder letter issued
- Alcatel ends
- Contract signature
- Due diligence of the service streams
- Service Commencement

The application for Judicial Review against the NSCSO Preferred Bidder recommendation could (if successful) impact upon the DRS project. Consequently, the project is unable to confirm the dates within the plan at this point in time.

The mobilisation plan will take account of the parallel mobilisation of NSCSO services. Provisions within the NSCSO contract will guarantee the required availability and quality of support to the DRS partner through its own mobilisation period and early months of operation whilst interface agreements to be signed by both partners will allow them to renegotiate, extend or discontinue the services for the longer term.

**Diagram 9.4 - DRS Mobilisation Plan**



## 9.2. Project Assurance

### One Barnet Assurance Work

Assurance work has taken place through-out the project lifecycle of DRS by internal and external audit.

Internal Audit review the programme quarterly and review aspects of the projects according to the 12 point project management excellence methodology set out in the diagram opposite that assures a well-managed, effective programme which has fit-for-purpose controls:

**Internal Audit** work for the past two years has considered the following:

- Capacity and Capability management, change management and risks and issues management
- Customer Services Risk Management
- Scope and change control, governance and dependencies
- Working with suppliers/providers
- Stakeholders
- Data quality of KPI information



**External Audit** reviews the council annually and considers the progress of its transformation programme in its value for money opinion. The council has maintained an unqualified value for money opinion throughout the course of the One Barnet Programme. In addition, External Audit has reviewed the following:

- One Barnet Governance
- the progress of the DRS project and overall concluded that there were adequate arrangements in place for the overall governance of transformation projects

The outcome of internal and external audit work has been reported through to the Audit Committee throughout the life cycle of the DRS project.

## 9.3. Project Risk Management

Project risks are managed in line with council's overall approach to risk management. Risks are recorded and managed through the council's central risk register contained within JCAD IT system and reported to the Strategic Commissioning Board on a regular basis.

The key risks identified for the delivery of the mobilisation phase are shown in Table 9.5.



Table 9.5 – Summary Risk Analysis

Risk Area	Potential Causes	Consequence	Control
Legal challenge	Challenge of the procurement process or vires	Impact upon the delivery of project benefits	The project and procurement have been conducted in line with legislative and best practice guidelines and vires audits have been undertaken in relation to activities itemised in the Output Specifications.
Management of contract	Service level agreements (SLAs) and key performance indicators (KPIs) are not sufficiently defined	Impact Barnet's ability to hold suppliers to commitments from transfer of service.	KPI performance data has been accepted for the majority of KPIs, however, 27 are not accepted as reliable by the provider. Further work will be done to gain acceptance of these prior to contract commencement.
Challenge during the Alcatel period	Challenge during the Alcatel period prevents contract signature and mobilisation until challenge is answered.	This will extend timescales for transfer of service.	The contract will not be signed until the Alcatel period has expired. In addition, the council has undertaken the procurement of DRS according to the council's Contract Procedure Rules and the Public Contracts Regulations 2006. All precautions have been taken to ensure a fair and transparent process for both short-listed bidders and to minimise the risk of challenge.
Business as usual and mobilisation activities.	Due diligence activities coupled with preparations to transfer service in adequately planned or resourced	Pressure on business as usual activities or the council's ability to properly execute mobilisation activities.	A mobilisation team has been identified which is largely staffed from the new retained client organisation. Where further resources are needed to supplement either capability or capacity on a short term basis, contract staff will be deployed.
DRS and NSCSO Interface Agreement	DRS and NSCSO Preferred Bidders delay signing up to Interface Agreement	Potential impact on the benefits realisation for both projects.	The council has been dialoguing interface agreements with all DRS and NSCSO bidders and the key obligations are already developed in the draft contract.



Risk Area	Potential Causes	Consequence	Control
Commissioning Group	Key posts in Commissioning Group not filled	Gaps in capability and capacity for mobilisation and on-going contact management.	<p>There are a number of key posts within the new Commissioning Group that will need to be filled in order to provide leadership into the mobilisation process and to retain the resulting knowledge in house for use in managing the contract and performance. Contract managers should be briefed and trained to ensure full know how handover by those who negotiated the contract and full knowledge of contractual mechanisms, the council's obligations and the range of remedies available should performance dip.</p> <p>Work is already underway to advertise and fill vacant posts, some already having been filled. Where vacancies identified as essential for the mobilisation work exist contract resource will be brought on board to cover while permanent resources are recruited.</p>
Mobilisation timescales	Mobilisation timescales are exceeded	Delay to service transfer	The council's preparation for mobilisation will start from the announcement of the preferred bidder and will formally commence following the end of the Alcatel period. A 12 week process is planned for joint council and CSL mobilisation activities which is in line with recommendations.
3 <sup>rd</sup> Party Contract novation	Key contracts are not able to or are late novating	Council continue to manage and /or fund third party services that should be transferred.	<p>Work is on-going on the review and transfer of contracts and will be completed in preparation for transfer of service.</p> <p>Where contracts cannot be novated for legal or constitutional reasons they will be retained, incorporated into the baseline adjustments, and CSL will act as the council's managing agent.</p>

Risk Area	Potential Causes	Consequence	Control
Constitutional changes	Constitutional changes are delayed	Constitutional changes are delayed	Contract delivery is not dependent upon the structure of the retained council. The council could manage the DRS contract within current structures and governance procedures, with any temporary changes to service requirements being dealt with by way of a reprioritisation change within the contract. Council representative directors on the JV Co will need to ensure compliance with appropriate propriety and probity requirements to understand their duties and prevent conflict of interests.
Financial baseline	Financial baseline is updated	Financial baseline update adversely impacts contract	The council retains the ability to require a change in the services as a consequence of budgetary or other constraints. CSL would be obliged to develop options for meeting the new baseline, which would initially involve reprioritisations and which the council can accept or require refinement until it is content with the proposals.

## 10. Dependencies

The following dependencies have been identified and will be actively managed by work stream leads throughout the mobilisation period and into the contract term as appropriate.

**Table 10.1 Dependencies list**

Item	Dependency
Information Management Strategy Project	On transfer of service to the new provider on the 8 May the council will need to be able to hand over the physical and electronic data necessary for the day to day running of services. Preparation for this is already underway through the Information Management Strategy Project (IMS).
Commissioning Organisation Design	The timely recruitment of staff to key positions within the new commissioning organisation will be a major factor in a successful mobilisation. Where feasible, the project will want to retain officers within the commissioning organisation who have knowledge of the mobilisation process and ensure know how handover from the negotiation team.
Governance Project	A number of constitutional changes will be necessary to complete transfer such as the appropriate delegation of responsibilities to the Chief Operating Officer and the client management team. These changes will need to be managed through the normal democratic process and as such will need to be completed before the transfer date. See also above re council nominated directors.
Co-Operation Agreement	The Interface Agreement defines how the preferred bidders from DRS and NSCSO will work with each other during the transition of services from the council to the provider. This is particularly critical for services such as IS who may still need to provide current council IT systems to DRS services post 8 May for up to 3 months.
Joint Employment	There are a number of functions within the DRS services that can only be performed by an Officer employed by the Authority. A joint employment contract between the employee, the council and the new provider will enable these elements to be performed post transfer to the new provider.
Approval of commercial proposals	The commercial aims of the provider are in part linked to the implementation of the proposals set out in the Commercial Development Plan. Some of these will require the council and Members' approval before they can be implemented. The council believe many will be non- contentious but some may involve offering new services or changes to fee levels or fee structures that may need more in depth consideration.

## 11. Democratic Oversight and Control

Members' democratic oversight and control of the DRS services will be undiminished by entering into this contract:

- **Setting strategic direction for the services:** The contract provides for an annual service review process which looks back over the prior year's performance and identifies the agenda for the coming year. This process will align with the council's own budget and business planning cycle. Member decisions made through the budget cycle will be communicated via the Strategic Partnership Board and will be built into service plans for the following financial year.
- **Taking resourcing decisions:** The contract includes budgetary change provisions, which are there to deal with events requiring a significant reduction in the cost of services. The Partner has an obligation in such circumstances to minimise any adverse effect on services and is required to provide an impact assessment so that members can take decisions in full knowledge of the potential impact. A change process can be initiated at any time. If, for example, there was a Comprehensive Spending Review announcement from Central Government that identified more cuts to future resourcing levels for local government, Members could use the budgetary change provision to require an immediate step-down in DRS services in order to use these savings to help minimise the future impact on other services.
- **Holding the service provider to account:** The DRS services are subject to similar overview and scrutiny processes as in-house services. Decisions taken in respect of these services may be called-in and scrutinised in exactly the same way, and the council's audit committee will receive reports on the DRS services which remain within the scope of the council's annual audit plan.
- **Renewing, reducing, stopping or changing the service mix within the contract:** The Council may terminate at any time earlier than the planned end date (this would be a member decision) subject to repaying CSL for investments made but not yet recouped through the annual service charge and loss of profit. If the contract runs the full 10 years as is currently envisaged, the up-front investment in transformation and technology will be recovered over that 10 year period.

### 11.1. Member Involvement in DRS Services

CSL commit to provide Members with a more supportive approach including a dedicated Member Liaison Service. This will proactively engage with Members providing a single point of contact for them to discuss any issues.

In addition, the provision of enhanced customer insight is expected to assist Members in responding to residents as individuals, and also in understanding patterns and trends at ward level.

## 12. Benefits Realisation and Contract Management

### 12.1. Benefits Realisation

The council's approach to benefits realisation will be developed with the new partner and aligned with the performance management and incentivisation mechanisms in the contract. These fall broadly into the following areas:

- Monitoring of transformation milestones and deliverables. CSL has committed to using a benefits tracking tool and funding a benefits realisation manager.
- Key Performance Indicators (KPIs) and Performance Indicators (PIs) for the core services will be reported monthly by the Partner and the council has a right of access to the systems and data used to create these reports to satisfy itself of their accuracy. Each of these PIs represents a specific output or benefit commissioned by the council from the Partner. If there is any variation from the targeted levels these will be reviewed and actions taken as necessary between the council's client team and the Partner's operations team as part of the Partnership Operations Board. Any issues that cannot be resolved or progressed by this group can be escalated to the Strategic Partnership Board and ultimately to the Chief Executive and the Board of the Partner.
- Objectives for specially commissioned projects will be developed through the business case and approval procedures set out in the contract. As each project may require a different approach to delivery, the Partner will be required to set out a detailed benefits management procedure as part of each business case. Progress against live projects and their required outcomes will be reported to the council at the same time as the regular PIs. On-going monthly business performance reviews in this area will be overseen by the Partnership Operations Board.

The ownership (on the council's side) of each of these benefits will fall to the relevant Lead Commissioners and will be tracked and reported to the council as part of their general reporting processes.

### 12.2. Intelligent Client and Contract Management

The council has designed and established a client side function for all its internal and external delivery partnerships called the Commissioning Group as part of the corporate restructure project, which was approved by General Functions Committee in April 2012. This new structure, with the majority of roles filled, went live in April 2013. It comprises:

- Lead Commissioners – six senior strategy and policy experts responsible for understanding the needs of customers and the borough and designing commissioning strategies to deliver the outcomes required by the Strategic Commissioning Board in accordance with the direction and policy guidelines provided by members. The Enterprise & Regeneration Lead Commissioner, who has been in post for several months, is the primary DRS Commissioner.
- Commissioning strategy team – five strategy and policy advisors who act as a flexible resource across all policy areas

- Commercial team – a team who will manage the commercial and contractual relationships with external and internal delivery partners, ensuring that contracted financial and non-financial benefits and commissioned outcomes are delivered, that risks are effectively monitored and managed, and improvement opportunities are identified and acted on. Within this there will be a dedicated DRS team led by a DRS Partnership Manager, and comprising officers responsible for service quality assurance, performance analysis and contract compliance.
- Deputy Chief Operating Officer team – a large team overseeing effective corporate strategy and operations, comprising programmes and projects, information management, finance, and communications, and key NSCSO subject matter experts

The council is utilising best practice guidance in the detailed design of its contract management processes, including the National Audit Office and Office of Government Commerce's Good Practice Contract Management Framework (December 2008), which covers activities that organisations should consider when planning and delivering contract management; how to evaluate the risk and value opportunities inherent in contracts; and how to develop contract management plans and priorities.

## DRS Employee Equality Impact Assessment **Capita Symonds**

### 1. Introduction

#### 1.1 Purpose

1.1.1 It is recognised that such a significant transformation of services is likely to have an impact upon staff. This impact will be monitored through the completion of an Employee Equalities Impact Assessment (“EIA”); this is a “live” document and will be updated at key milestones throughout the lifespan of the project.

1.1.2 As part of the public sector Equality Duty, section 149 of the Equality Act 2010, the Authority is required to give due regard to the elements of the public sector equalities duty. The three elements of the public sector equality duty (**PSED**) involve the need to:

- eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act;
- advance equality of opportunity by removing or minimising disadvantages experienced by people due to their protected characteristics, meeting the needs of particular groups and encouraging under-represented groups to participate in public life; and
- foster good relations between those sharing and those not sharing protected characteristics by tackling prejudice and promoting understanding.

The duty is a continuing one, and equality considerations are required to be integrated into all stages of the procurement, commissioning and decision making process. The duty extends to the council’s procurement of goods, works and services from external providers, and equality considerations must be embedded in the council’s relationship with its staff, suppliers and any staff transferring to suppliers under the Transfer of Undertaking (Protection of Employment) Regulations 2006.

The PSED is non-delegable. The council remains the decision-making authority and must ultimately discharge the PSED.

1.1.3 This EIA is a live document and has been used throughout the procurement process, it will also be used to understand the impacts on groups of staff over the period of the DRS project as well as being used as a baseline for any future decision-making by Capita Symonds.

This EIA has been updated at key milestones in the process and has been part of the decision making at each part of the formal process as well as informally influencing decisions.

1.1.4 Capita Symonds will support the Authority in complying with its equality duty whilst it provides services on behalf of the Authority.

#### 1.2 Aims and objectives of the OB programme

1.2.1 The project’s aim is to enable the Council’s development and regulatory services to be delivered differently to:

- provide improved services for their internal and external customers
- make savings to benefit the taxpayer
- enable them to adapt to a changing and evolving customer base in the light of any One Barnet developments and are therefore sustainable

1.2.2 The proposals approved in the Development and Regulatory Service options appraisal fit within the One Barnet principles. In line with the One Barnet principles, all services should:

- provide a new relationship with citizens
- be designed and delivered around customers' needs
- provide the best possible customer experience
- enable customers to help themselves by providing accurate and accessible information and enabling self-service wherever possible.

### 1.2.3 A one public sector approach should:

- be in a position to support the requirements of all public sector partners and drive better multi-agency working
- be flexible and, therefore, able to rapidly respond to changing demands.

### 1.2.4 A relentless drive for efficiency should:

- operate as efficiently as possible to both minimise the cost of the service and minimise the cost to customers of accessing the service
- be innovative and take advantage of evolving technology, thinking and practice
- maximise the value the Council achieves from all its assets (capital and revenue)
- safeguard the Council's position to maintain its reputation and comply with legal responsibilities.

## 1.3 Description of the critical milestones

- Identification of services in scope (Nov 2010):

Services
Building Control
Environmental Health
Hendon Cemetery & Crematorium
Highways Network Management
Highways Traffic & Development/Highways Strategy
Highways Transport & Regeneration
Land Charges
Planning Development Management
Regeneration
Strategic Planning
Trading Standards & Licensing

- End of dialogue one to reflect any changes to the scope of services included (Oct 2011)
- End of evaluation (January 2013)
- After the TUPE transfer of the activity to Capita Symonds (May 2013)

## 1.4 Key Stakeholders

- In-scope staff – represented by the staff group and service lead group
- Council customers – represented by the members of the advisory group, these are the service areas that use the services in scope
- Politicians – decisions regarding the progress of the project will be taken by Cabinet Resources Committee and Cabinet
- Senior Council officers – the project is sponsored by the Commercial Director and the board comprises of senior Council officers
- Trade Unions – represented by trade union staff who attend monthly meetings with the project manager, HR and project sponsor



## 2. Any Anticipated Equalities Issues at each milestone and identified mitigation

### 2.1 Identification of services in scope

2.1.1 This is not expected to have an impact on staff as it is purely a paper exercise to establish the size of all the services in scope.

### 2.2 End of dialogue one

2.2.1 This is not expected to have an impact on equalities. Following the first round of dialogue it may become clear that some services may be added or taken out of scope in which case the staff baseline will need to be re-profiled and updated within the EIA to reflect the new collection.

2.2.2 It is expected that further reorganisations of the services in scope will be carried across 2011/12. At this stage, the nature and extent of these reorganisations is unknown and, as such, it is impossible to assess whether there will be an equalities impact.

### 2.3 End of Evaluation

2.3.1 It is anticipated that there will be a joint employment contract for those staff who carry out statutory functions; this is not expected to result in any equalities issues during mobilisation.

### 2.4 Staff Transfer

2.4.1 Capita Symonds has stated that the operation will be Barnet-based.

## 3.1 Monitoring Summary

**Table 1- Employee EIA Profile of the One Barnet Development and Regulatory Services**

**Project** (this profile is in accordance with the requirements of the Equality Act 2010 and the Council will collect this information so far as we hold it).

All numbers replaced by an 'X' have been aggregated to protect personal identification

		In-scope profile at outset date		End of dialogue 1 date		End of evaluation		Post-Transfer Review	
		Total Council Equality Figures %	In-scope %	Total Council Equality Figures %	In-scope %	Total Council Equality Figures %	In-scope %	Total Council Equality Figures %	In-scope %
<b>Number of employees</b>		3,418	214	2,788	223	2,748	250		
Gender	Female	63%	47%	64%	48%	64%	45%		
	Male	37%	53%	36%	52%	36%	55%		
Date of Birth (age)	1985-1996	5%	6%	6%	7%	6%	12%		
	1975-1984	20%	22%	21%	22%	21%	23%		
	1965-1974	27%	31%	27%	30%	28%	29%		
	1951-1964	39%	36%	40%	35%	40%	32%		
	1941-1950	8%	5%	6%	5%	5%	5%		
	1940 and earlier	0%	0%	X	0%	X	0%		

Ethnic Group	White: British	52%	62%	52%	63%	52%	62%		
	Irish	3%	X	3%	X	3%	X		
	Turkish Cypriot	1%	X	1%	X	1%	X		
	Greek Cypriot	1%	X	1%	X	1%	X		
	Other White	6%	X	7%	X	7%	4%		
	Mixed: White and Black Caribbean	0%	0%	0%	0%	0%	0%		
	White and Black African	0%	0%	0%	0%	0%	0%		
	White and Asian	1%	X	0%	X	1%	X		
Other Mixed	2%	X	2%	X	2%	X			
Asian and Asian British: Indian	7%	5%	7%	5%	7%	6%			
Pakistani	1%	X	1%	X	1%	X			
Bangladeshi	1%	0%	1%	0%	1%	0%			
Other Asian	2%	X	2%	X	2%	X			
Black or Black British: Caribbean	5%	7%	5%	6%	6%	6%			
African	8%	6%	7%	5%	7%	6%			
Other Black	1%	X	1%	X	1%	X			
Chinese / Other Ethnic Group: Chinese	1%	X	1%	X	1%	X			
Other Ethnic Group	2%	X	2%	X	2%	X			
Blank/Not assigned/Not declared	8%	6%	8%	5%	7%	5%			
Disability	Physical co-ordination (such as manual dexterity, muscular control, cerebral palsy)	0%	0%	0%	0%	0%	0%		
	Hearing (such as: deaf, partially deaf or hard of hearing)	X	X	X	X	X	X		
	Vision (such as blind or fractional/partial sight. Does not include people whose visual problems can be corrected by glasses/contact lenses)	X	0%	X	0%	X	0%		
	Reduced physical capacity (such as inability to lift, carry or otherwise move everyday objects, debilitating pain and lack of strength, breath, energy or stamina, asthma, angina or diabetes)	X	X	0%	X	0%	X		
	Learning difficulties (such as dyslexia)	X	0%	X	0%	X	0%		
	Mental illness (substantial and lasting more than a year)	X	0%	X	0%	X	0%		
	Mobility (such as wheelchair user, artificial lower limb(s), walking aids, rheumatism or arthritis)	0%	X	X	X	X	X		
	Other disability	1%	X	1%	X	1%	X		
	No disability	98%	97%	97%	97%	97%	97%		
Not stated	0%	0%	0%	0%	0%	0%			
Gender Identity	Transsexual/Transgender (people whose gender identity is different from the gender they were assigned at birth)	0%	0%	0%	0%	0%	0%		

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	Not stated	0%	0%	0%	0%	0%	0%		
Pregnancy & Maternity	Pregnant but not yet on maternity leave (MatB1)	0%	0%	0%	0%	0%	0%		
	Maternity Leave (current) (SMP&OMP)	0%	0%	0%	0%	0%	0%		
	Returned from Maternity Leave (in last 12 months)	0%	0%	0%	0%	0%	0%		
Religion or Belief	Christian	47%	48%	47%	48%	48%	46%		
	Buddhist	0%	X	0%	X	0%	X		
	Hindu	6%	5%	6%	5%	6%	6%		
	Jain	0%	X	0%	X	0%	X		
	Jewish	3%	X	3%	X	3%	4%		
	Muslim	4%	X	4%	X	4%	X		
	Sikh	0%	X	0%	X	0%	X		
	Other faith religions	4%	X	4%	X	4%	X		
	No religion	17%	22%	17%	23%	16%	22%		
	No response on faith	8%	5%	7%	5%	8%	5%		
	No form returned	1%	X	1%	X	1%	X		
	Atheist	1%	X	2%	X	2%	X		
	Agnostic	1%	X	1%	X	1%	X		
	Humanist	X	0%	X	0%	X	0%		
Not assigned	7%	7%	6%	7%	6%	6%			
Sexual Orientation	Heterosexual	67%	78%	69%	78%	70%	79%		
	Bisexual	0%	X	X	X	0%	X		
	Lesbian / Gay	1%	X	1%	X	1%	X		
	Prefer not to say	21%	13%	20%	13%	19%	12%		
	Not assigned	10%	9%	10%	9%	9%	7%		
Marriage and civil partnership	Married	34%	36%	30%	32%	32%	33%		
	Single	27%	31%	22%	26%	24%	26%		
	Widowed	1%	X	1%	X	1%	X		
	Divorced	3%	X	3%	X	3%	X		
	In civil partnership	X	X	X	X	0%	X		
	Co-habiting	1%	X	1%	X	1%	X		
	Separated	0%	X	X	X	0%	X		
	Unknown	35%	26%	32%	22%	39%	32%		
	Not assigned	X	0%	11%	14%	X	0%		
Relevant and related grievances	Formal	0%	0%	0%	0%	0%	0%		
	Upheld	0%	0%	0%	0%	0%	0%		
	Dismissed	0%	0%	0%	0%	0%	0%		

### 3.2 Data

3.2.1 The above table shows the protected characteristics for the in-scope community involved in the DRS transfer to the new provider. Data will be assessed over the 4 key milestones in the process.

3.2.2 The assessments to date were shown against the in-scope community and the Council as a whole (excluding schools).

3.2.3 The assessment of this data is to:

- understand where certain activities proposed by the new provider may affect one specific group over another.

- understand the make up of the transferring community and compare this against the make up of the Council, the preferred position would be that the transferees are of a similar representation as the Council.
- the assessment at the key milestones is to ensure the transferring community remained of a similar composition and used as a basis to investigate any major changes in the statistics of this group if a dramatic change were identified.

3.2.4 The protected characteristics are: age, disability, gender reassignment, marital status, pregnancy and maternity (including teenage parents), race, religion or belief, sex, sexual orientation.

3.2.5 The make up of the transferring group is greater in the following areas:

- Gender: Male
- Age: Born between 1964 and 1951
- Ethic Group: White British
- Disability: no disability; where there are a limited number of individuals with declared disabilities, these have been aggregated
- Religion or belief: Christian
- Sexual orientation: Heterosexual
- Marriage and civil partnerships: Married

3.2.6 The make up of the transferring group is reflective of that of the retained Council, as shown in table 1, columns 4, 6, 8 and 10.

3.2.7 In a number of these categories the greater characteristic is not by a significant number, for example gender. This has remained around circa 47%/53% female/male split. This means that changes to the transferring group is more likely to affect a higher percentage of men than women.

### **3.3 Transfer of Information on Disability**

3.3.1 The Authority has requested that the new provider requests equalities data from the transferring group at the point of transfer; this will not be transferred by the Council.

3.3.2 The intention is to both protect individual staff choice in the provision of this data to a new employer and to give staff the opportunity to refresh their equalities information.

3.3.3 A data cleanse has been carried out with the transferring staff on all transferring data. As part of this, staff have been given the opportunity to provide information on workplace adjustments, this can be anything from formal or informal working patterns to local arrangements, specific equipment or support to enable staff to effectively carry out their role.

3.3.4 Staff were informed that the workplace adjustment field will be submitted to the provider in the words provided by the individual. The new provider will offer to hold one-to-one meetings with all staff, this will give both parties the opportunity to explore this field and understand the detail of individual's personal requirements.

### **3.4 Maternity Leave**

3.4.1 Staff on maternity leave will be offered the opportunity to attend all briefings and one-to-one meetings with both the Council and their new employer prior to and during the mobilisation period.

- 3.4.2 If meetings are attended, staff can use their “keep in touch” days to be paid for these sessions.
- 3.4.3 If it is impossible for a member of staff to attend, due to their personal circumstances at that time, their line manager will brief them in the most appropriate way, either at a more appropriate time or via telephone if necessary.

### **3.5 Data Gaps**

- 3.5.1 The business case shows full-time equivalent (FTE) figures in the financial model; the EIA shows data described by percentage of headcount. This gives a clear view of the actual effect on each of the protected characteristics.
- 3.5.2 The above figures have been taken from the SAP HR system on employees known to be in-scope by name.
- 3.5.2 The data for the first two milestones were taken from the Council’s standard data set which also included casual workers. The Council has since changed their data set to remove casual workers from their reporting; therefore a disproportionate drop in Council staff figures is shown.

### **3.6 Evidence**

#### **List below available data and research that will be used to determinate impact on different equality groups**

- 3.6.1 The revised establishment lists from SAP provide the primary data, plus the data cleanse returns, ‘local knowledge’ of heads of service and one-to-one meetings between staff and the new provider.
- 3.6.2 When making any decisions affecting staff, the new provider will be expected to consider the impact of the project on the following, amongst other potential factors:
- Flexible working arrangements and their impacts on parents and carers (working practices)
  - Working from home (working practices)
  - The impact of moving staff to different work locations (relocation)
  - The impact of potential changes to holidays / term-time working (working practices)
  - The impact on staff of changes to their working culture (equalities)
  - The impact on staff of additional health and safety training (training and development)
  - The impact on staff of a different programme of investment and development (training and development)
- 3.6.3 Any changes to terms and conditions/policies and procedures proposed by the new provider will be subject to consultation post-transfer. The new provider has agreed to honour the council’s TUPE Transfer Commitments so there will be no change to contractual terms and conditions for the first year following transfer.
- 3.6.4 The table at 4.1.4 shows potential impacts and mitigation proposed by the new provider in the final tender.

## **4. Project Milestone Outcomes, Analysis and Actions**

### **4.1 Summary of the outcomes at each milestone**

#### **4.1.1 Identification of services in scope - EIA iteration - Nov 2010**

The EIA data was reviewed in conjunction with the business case to identify any potential equalities implications on staff.

#### **4.1.2 End of dialogue one – EIA iteration - Oct 2011**

The ISOS submissions were completed and have been evaluated. At this stage there was a down selection from 4 bidders to 2. The EIA was updated and there were no equality impacts on staff at that time.

#### **4.1.3 End of evaluation – EIA iteration - Jan 13**

The EIA data has been revised and the proposals in the recommended preferred bidder's final tender are shown below.

A number of the changes proposed by the new provider will be seen as positive; where the impact of these changes are perceived as a negative, the impact of these and mitigation provided in the final tender have been considered in the table in section 5.

#### **4.1.4 Transfer date**

The EIA will be reviewed following the transfer in order to determine the actual impact on staff in scope, this will be the final milestone review.

## 5. Potential Impacts and Proposed Mitigating Actions/Benefits to Staff

Listed below is a summary of the key benefits to staff

	<b>Proposed Activities</b>	<b>Potential Impact</b>	<b>Impact Type</b>	<b>Protected Groups Affected</b>
1	<b>Transition and Communication</b>	<b>Staff concern about protection of their terms &amp; conditions and fair treatment at the point of transfer</b>	<b>Negative</b>	<b>All</b>
<b>Proposed Mitigating Actions/Benefits to Staff</b>				
<ul style="list-style-type: none"> <li>•Capita Symonds has stated that they will abide by the TUPE Regulations, all transferring staff will have their continuous service preserved under TUPE and that all their contracts of employment transfer, with staff retaining their key contractual transferring terms and conditions such as annual leave, grade and pay entitlements</li> <li>•Capita transition team is experienced and will be on-site to coach/mentor transferring staff. Over 70% of their existing 45,000 staff have transferred to Capita under TUPE from previous employers or through acquisition. Over 40% of those have come from Local Government.</li> <li>•Capita Symonds provide a full communication and engagement plan to integrate staff into the joint venture quickly and effectively including: <ul style="list-style-type: none"> <li>○ Inform and consult with TUs and staff</li> <li>○ Working collaboratively with TUs to ensure consistency of message</li> <li>○ Team manager sessions on HR processes and relevant Capita Symonds information</li> <li>○ PeopleCare programme including welcome presentation, induction, staff bulletins, confidential email helpline, staff drop in sessions, one-to-one meetings, regular Q&amp;As</li> <li>○ ManagerCare programme is an extension of the PeopleCare programme to support managers</li> <li>○ Staff briefings will consider various groups of staff including varying work patterns and locations</li> </ul> </li> <li>•Capita Symonds HR staff integration team to support staff throughout transfer period. Enhanced HR support to transferring staff, such as training, leadership development programmes, Continuous Professional Development and funding for professional subscriptions”.</li> <li>•Capita Symonds have committed to a series of fortnightly collective tripartite consultation meetings; a terms and conditions matrix will be developed which will reflect the final agreed position which will apply to all transferring employees post transfer; they will confirm all final agreed measures to the transferring employees by way of a personalised letter; the opportunity for group or individual consultation sessions will be offered to 100% of staff prior to the service commencement date; they will not vary the contractual terms and conditions of transferring staff within the first 12 months of the contract.</li> <li>•Staff satisfaction survey within 9 months</li> <li>•Pension auto-enrolment at appropriate staging date</li> </ul>				
2	<b>Consultation on proposed measures (known changes)</b>	<b>Staff concern about protection of terms &amp; conditions</b>	<b>Negative</b>	<b>All</b>
<b>Proposed Mitigating Actions/Benefits to Staff</b>				

<ul style="list-style-type: none"> <li>•Capita Symonds have committed to provide a terms and conditions matrix which will reflect the final agreed position which will apply to all transferring employees post transfer; they will confirm all final agreed measures to the transferring employees by way of a personalised letter; the opportunity for group or individual consultation sessions will be offered to 100% of staff prior to the service commencement date; they will not vary the contractual terms and conditions of transferring staff within the first 12 months of the contract.</li> <li>•The approach to contractual terms and conditions will be reviewed, in particular, the policies and procedures which support those terms and conditions with a view to aligning the policies and procedures to standard Capita procedures after the first twelve months of the partnership. However, any entitlements to pay, for example, maternity, paternity and company sick pay will remain.”</li> <li>• Provision of Capita Symonds of individual staff verification packs to confirm transferring terms and conditions (page 10 of HR SIDP para 2.1.1)</li> <li>•Signed up to the Council’s TUPE Transfer Commitments including admitted body status for the pension</li> <li>•Capita commits to fortnightly collective tripartite consultation meetings, following which a joint bulletin will be agreed and issued to all transferring employees. A pre-consultation measures letter will be produced to the council at contract award stage. They will confirm all final agreed measures to the transferring employees by way of a personalised letter which forms part of their verification process.</li> </ul>				
3	<b>Training and Development</b>	<b>Development in role and career progression</b>	<b>Positive</b>	<b>All</b>
<b>Proposed Mitigating Actions/Benefits to Staff</b>				
<p>Capita Symonds will:</p> <ul style="list-style-type: none"> <li>• Post-transfer offer opportunities to work on innovative and new projects</li> <li>• Provide continuous professional development and skills enhancement</li> <li>• Provide staff with the right tools so they can excel in their roles</li> <li>• Manager Care programmes including all transferring managers will attend the Managers Guide to Employment Practices course</li> <li>• Succession planning and talent management</li> <li>• £500 per person per annum, average 5 days per person per annum to be invested in training and development</li> <li>• Mentoring for every transferring manager</li> <li>• Capita vocational learning programme</li> <li>• Appoint an Organisational Development Co-ordinator from within the transferring staff in scope</li> <li>• Career development</li> <li>• Skills mapping to identify training needs</li> <li>• Full roll out of performance appraisal process and setting of clear objectives clearly linked to KPIs</li> <li>• Focus on professional accreditation and support existing professional development plans</li> <li>• One annual business relevant professional subscription per person per annum</li> </ul>				



4	<b>Restructure</b>	<b>Possible loss of employment or detriment suffered from changes</b>	<b>Negative</b>	<b>All</b>
<b>Proposed Mitigating Actions/Benefits to Staff</b>				
<ul style="list-style-type: none"> <li>•Capita does not envisage a large headcount reduction as a result of efficiency savings on their core services. The intention is to redeploy people into roles on growth activity.</li> <li>•They will adopt a fair and reasonable selection process, which will be consulted upon and applied consistently. Further potential redeployment opportunities throughout the partnership and in the wider Capita Group will be explored.</li> <li>•Capita have stated the operation to be Barnet-based</li> <li>•Offer of opportunities to work on innovative and new projects if appropriate</li> <li>•Provide continuous professional development and skills enhancement</li> <li>•Provide staff with the right tools so they can excel in their roles</li> <li>•Succession planning and talent management</li> <li>•Career progression</li> <li>•Skills mapping to identify training needs</li> </ul>				
5	<b>Trade Unions</b>	<b>Staff concern over potential loss of TU representation</b>	<b>Negative</b>	<b>All</b>
<b>Proposed Mitigating Actions/Benefits to Staff</b>				
<ul style="list-style-type: none"> <li>•A series of fortnightly tri-partite meetings will be held between the Council, Capita Symonds and recognised TU's where equalities issues can be raised</li> <li>•Capita Symonds acknowledges that the London Borough of Barnet is committed to promoting and maintaining good industrial relations and acknowledges the commitments contained with the Trade Union and Employee Engagement Framework.</li> <li>•Capita has a great deal of experience of engaging trade unions regarding the transfer of staff under the TUPE Regulations and have in place a number of key strategic partnerships with trade unions</li> <li>•Capita has committed to engage with trade unions as part of consultation on any restructures post-transfer</li> </ul>				
6	<b>Working practices</b>	<b>Staff concern regarding flexible working formal and informal</b>	<b>Negative</b>	<b>All</b>
<b>Proposed Mitigating Actions/Benefits to Staff</b>				
<ul style="list-style-type: none"> <li>•Capita have committed to honour 100% of existing flexible working arrangements for transferring staff. However, should business needs dictate that some local arrangements no longer work for the business, they reserve the right to discuss this with the employee</li> </ul>				
7	<b>Equalities</b>	<b>Concern about moving to a new culture</b>	<b>Negative</b>	<b>All</b>
<b>Proposed Mitigating Actions/Benefits to Staff</b>				
<ul style="list-style-type: none"> <li>•Capita have committed to adding commercial skills and acumen to the services to enable growth</li> <li>•Developing existing staff and managers with new skills to maximise flexibility</li> </ul>				

<ul style="list-style-type: none"> <li>•Investing in new ICT to enhance customer service and maximise efficiency</li> <li>•Investing in additional capacity to optimise service quality and enable growth</li> <li>•Introducing best practice to improve productivity for further savings and capacity</li> <li>•The PeopleCare programme comprises a series of communication and consultation activities and has proven to be a vital tool in supporting the transferring of staff and managers into the organisation</li> <li>•A key element of the ManagerCare programme will be a half day cultural integration workshop</li> </ul>
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## 6. Briefing, Sharing and Learning

This table summarises the briefing activities. This EIA forms the primary briefing tool and has been shared as detailed below.

<b>Table 2 Milestone Description</b>	<b>CDG</b>	<b>Cabinet / CRC</b>	<b>GFC</b>	<b>PFC</b>
<b>Identification of services in scope</b>		28/03/11		
<b>End of dialogue one</b>		14/12/11		
<b>End of evaluation/ recommendation of preferred bidder</b>		TBC		
<b>Transfer Date</b>			TBC	TBC

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## Introduction

Equality and diversity issues are a mandatory consideration in decision making by the council pursuant to section 149 of the Equality Act 2010. This means the council and all other organisations acting on its behalf must have due regard to the equality duties when exercising a public function.

The three elements of the public sector equality duty (**PSED**) involve the need to:

- eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act;
- advance equality of opportunity by removing or minimising disadvantages experienced by people due to their protected characteristics, meeting the needs of particular groups and encouraging under-represented groups to participate in public life; and
- foster good relations between those sharing and those not sharing protected characteristics by tackling prejudice and promoting understanding.

The duty is a continuing one, and equality considerations are required to be integrated into all stages of the procurement, commissioning and decision making process. The duty extends to the council's procurement of goods, works and services from external providers, and equality considerations must be embedded in the council's relationship with its suppliers.

The PSED is non-delegable. The council remains the decision-making authority and must ultimately discharge the PSED.

The contract, which will be entered into between the Council and Capita Symonds Ltd (**Capita Symonds**), will contain obligations on Capita Symonds to fulfil the requirements of the PSED in respect of the public functions that it is performing.

The protected characteristics under Equalities legislation are:

- age,
- disability,
- gender reassignment,
- marriage and civil partnership,
- pregnancy and maternity (including teenage parents),
- race,
- religion or belief,
- sex and
- sexual orientation

The purpose of this Equalities Impact Assessment (EIA) is to understand the impact of the proposed externalisation of the 11 Development and Regulatory Services (DRS) outlined below on the way services are being delivered to the diverse customer profile of the council.

1. Environmental Health
2. Strategic Planning
3. Highways Network Management
4. Trading Standards and Licensing
5. Traffic and Development / Highways Strategy
6. Planning
7. Transport and Regeneration
8. Hendon Cemetery and Crematorium
9. Land Charges
10. Building Control
11. Regeneration

This EIA provides a detailed examination and analysis of the proposals against existing arrangements promoting equality, and how the proposals address current equality issues and customer feedback. It also offers an approach and mechanism to monitor the implementation of the key equality-related commitments (explicit or implicit) within Capita Symonds' proposals.

During the earlier stages of the procurement process, the council developed output specifications for each service. The output specifications are designed to ensure that the provider meets and exceeds minimum service levels and is fully compliant with statutory and non-statutory service standards including provisions to meet equality and diversity legislation and policies. Those output specifications will be contractually binding on the winning bidder. This EIA assesses the impact of the proposals on current service delivery models from the point of view of groups with protected characteristics.

Undertaking this EIA is consistent with the council's Equalities Policy which states as two of its principles, among others, the following:

- "Supporting employees in increasing their understanding of equalities issues through regular development programmes" and,
- "Building on policies to ensure inequality and discriminatory practice does not occur."

## Characteristics of Barnet's population

The council has rich data from the 2011 Census about the demographics of the population of Barnet, and also has Office for National Statistics and the Greater London Authority forecasts about how the age and ethnicity is likely to change in the future. Barnet's population was recorded as at 356,400 in the 2011 Census (one of the largest London boroughs), and is very diverse in terms of age, ethnicity and religion. For example, 36% of residents are from a black or minority ethnic group. Of the 76% of residents that describe themselves as having a religion, 41% are Christian, with the next largest groups being Jewish (15%) followed by Muslim (10%) and Hindu (6%). The table below provides a snapshot of the population in Barnet, based on the 2011 Census (except where indicated otherwise), broken down by protected characteristics where data is available.

Protected characteristics under Equalities legislation	Number	% of Borough Population
<b>Age</b>	356,386	100%
1yr - 19yr	90,464	25%
20yr – 29yr	55,338	16%
30yr- 44yr	83,864	24%
45yr – 59yr	62,376	18%
60yr – 74yr	40,635	11%
75yr and above	23,709	7%
<b>Gender</b>	356,386	
Male	172,676	48%
Female	183,710	52%
<b>Marital Status</b>	282,152	100
Single	105,064	37.2%
Married	132,002	46.8%
Civil Partnership	587	0.2%
Widowed	16,458	5.8%
Separated	7,944	2.8%
Divorced	20,097	7.1%
<b>Pregnancy and Maternity</b>		
2011 data based on <a href="http://data.london.gov.uk/datastore/package/births-and-fertility-rates-borough">http://data.london.gov.uk/datastore/package/births-and-fertility-rates-borough</a> 5,506 total pregnancies in 2011. Note: 131 pregnancies under 18 yrs old in 2010 (based on <a href="http://data.london.gov.uk/datastore/package/teenage-conceptions-borough">http://data.london.gov.uk/datastore/package/teenage-conceptions-borough</a> )	5,506	
<b>Race</b>	356,386	
White: English/Welsh/Scottish/Northern Irish/British	162,117	45%



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White: Other White	66,436	19%
Mixed/multiple ethnic group	17,169	5%
Asian/Asian British: Indian	27,920	8%
Asian/Asian British: Pakistani	5,344	1%
Asian/Asian British: Bangladeshi	2,215	1%
Asian/Asian British: Chinese	8,259	2%
Asian/Asian British: Other Asian	22,180	6%
Black/African/Caribbean/Black British: African	19,392	5%
Black/African/Caribbean/Black British: Caribbean	4,468	1%
Black/African/Caribbean/Black British: Other Black	3,571	1%
Other ethnic group: Arab	5,210	1%
Other ethnic group: Any other ethnic group	12,105	3%
<b>Religion or Belief</b>	356,386	
Christian	146,866	41.2%
Buddhist	4,521	1.3%
Hindu	21,924	6.2%
Jewish	54084	15.2%
Muslim	36744	10.3%
Sikh	1,269	0.4%
Other religions	3,764	1.1%
No Religion	57,297	16.1%
Not stated	29,917	8.4%
<b>Disabilities</b>		
Data based on "Barnet Joint Strategic Needs Assessment, 2011" found in <a href="http://www.barnet.gov.uk/download/downloads/id/1755/jsna_navigation_summary">http://www.barnet.gov.uk/download/downloads/id/1755/jsna_navigation_summary</a>		
With serious physical disability	12,600	3.5%
With a moderate physical disability	29,500	8.3%
Neurological conditions		
Stroke	1,729	0.5%
Epilepsy	1,729	0.5%
ME	1,037-1,729	0.1%
Brain injury	788	0.2%
Parkinson's disease	692	0.2%
Cerebral palsy	643	0.2%

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Post polio	346-1,037	0.2%
Multiple sclerosis	498	0.1%
Muscular dystrophy	173	0.05%
Spina bifida	83	0.02%
Motor neurone disease	24	0.01%
Traumatic spinal injury	7	0.002%
Visual impairment	1,884	0.5%
Hearing impairment	1,390	0.4%
Learning disability	6,336	1.8%
Autism	2,600	0.7%
Dementia	3,778	1.1%

On census night 2011 the population of Barnet was 356,400; the second largest population in Greater London. Barnet's population has increased by 41,800 (+11.5%) since the 2001 census. London as a whole grew by 11.6%. The most growth was among younger age groups, particularly 0-4 year-olds which grew from 20,200 to 26,200 in the intermediary ten years, a growth of nearly 30%; far above the growth of the population as a whole. In the adult populations, the number of older people in the borough has remained much the same since 2001. There has been negligible change among people of retirement age. Younger adult age groups have grown since 2001. The 25 to 44 year-old cohort has grown by 13,300 people since 2001; a 13% increase. Population growth in children and younger adult age groups indicates that Barnet's population is getting younger on average.

Barnet's population has become more ethnically diverse since 2001. As with the England and London, Barnet saw the White British population decrease while the percentage of people identifying themselves in Black and Ethnic Minority groups increase. 45.5 % of people in the borough identified themselves as White British down from 58.6% in 2001. The figure is slightly higher than London. The percentage of residents identifying themselves as non-British White increased from 44,500 in 2001 to 66,400 in 2011; an increase of nearly 50%. Asian ethnicities are the fastest growing ethnic group in Barnet. Since 2001 the Asian cohort has grown by 27,000 people due to increases in the Iran, Philippine, Sri Lankan and Chinese populations.

With increased ethnic diversity comes increased religious diversity. Christianity was once again the most popular religion in Barnet with 41.2% (146,866 people) of the population identifying themselves as Christian, though this is down from 47.3% of the population in 2001. The next most common religions are Judaism (15.2% up from 14.8% in 2001), Islam (10.3% up from 6.2% in 2001) and Hinduism (6.2% down from 6.7% in 2001). Barnet continues to have the largest Jewish population in the country. 16.2% of the population said that they have no religion up from 12.8% in 2001.

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Future population change will also produce changes in the age profile of the population, with above average growth in some age groups (1-19 year olds, 75 and above), a decline in the proportion of 30-44 and 45-59 year olds, and slower than average growth in 20-29 and 60-74 year olds.

In preparing this EIA, the DRS grouping of services utilised borough-wide demographic data as a primary source of intelligence and information about customers. The DRS services provide a range of universal services to all residents, from maintaining roads and pavements across the borough to providing regulatory services for the benefit of all residents, such as Environmental Health, Trading Standards, and Development Control. For some specific services within the overall DRS grouping, additional sample demographic data is used to inform policies, procedures and plans. Specifically, this relates to Regeneration Services and Strategic Planning. As a result, further demographic information relevant to DRS services is included in this EIA and used to assess the equalities impact of the Capita Symonds' Final Tender proposal. We recognise it is possible to generate additional customer intelligence and insight for specific services within the DRS grouping – and for the services as a whole – and the council will use this to assess future service needs and meet equalities and diversity duties.

In view of the size and diversity of the borough and the fact that every group with protected characteristics is present in the borough, all groups with protected characteristics have been taken into account in the preparation of this EIA.

### Summary EIA Statement

The council has assessed the service changes being proposed by Capita Symonds as part of its Final Tender, and considering whether it will have an impact on customers with any of the protected characteristics in terms of the three elements of the PSED – discrimination, equality of opportunity, and good relations.

Eleven equalities impact assessments (EIA) have been completed by the council:

- Environmental Health
- Strategic Planning
- Highways Network Management
- Trading Standards and Licensing
- Traffic and Development / Highways Strategy
- Planning

- Transport and Regeneration
- Hendon Cemetery and Crematorium
- Land Charges
- Building Control
- Regeneration

A summary of these EIAs is contained below, followed by each EIA in full.

Having considered these issues in detail, it is the council's view that the overall impact on all groups with protected characteristics in the borough in terms of their access to and use of these services, the council's ability to tackle discrimination and advance equality of opportunity, is likely to be neutral with the potential to be positive over time. There is also likely to be a neutral impact on good relations between those sharing and those not sharing protected characteristics. However, these assessments will be kept under review throughout the mobilisation and contract period.

The reasons for the current assessments are as follows:

The neutral assessments are based on the following key points:

- Capita Symonds will retain activities or measures currently undertaken by the services which promote the PSED.
- No service reductions are proposed in Capita Symonds' Final Tender and they have committed to fully delivering output specifications.
- Capita Symonds will be required to fully comply with the council's Equal Opportunities Policy and the PSED.
- -Capita Symonds will undertake EIAs as appropriate when certain changes to services are being considered prior to their approval and implementation.

The potential positive impact over time is based on the following key points:

- Capita Symonds will be introducing a number of service improvements that will enable better data about customers to be collected, analysed, and shared so that services can be better designed and targeted. These service improvements include the use of the following: Community Liaison Officers, user satisfaction surveys, annual client satisfaction surveys, service

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- improvement groups, formal customer feedback, outbound telephone surveys, outbound automated surveys, use of MORI and mystery shopping.
- Capita Symonds will enable multi-channelled delivery and the ability to bundle services in ways that relate to customer need and put that at the heart of service delivery.
- Capita Symonds will train staff on the PSED which will help support more appropriate service delivery methods.
- There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision.

The potential negative assessments are based on the following key points:

- Capita Symonds' proposal for a greater use of automated and web self-service channels and social media may negatively affect certain groups with protected characteristics as there is a risk that they may not directly benefit from these improvements. These groups would include older people who might not be IT literate, disabled people who cannot use a computer/phone, and people whose first language is not English.

Where there could be negative impacts, such as in terms of service structures and new technology, Capita Symonds has committed to a range of measures that will prevent changes from adversely impacting the quality of service provision on any customer, and introducing equalities training for staff and dedicated customer services support functions to make a positive contribution to equalities.

The proposals that are assessed to have a negative impact, along with their proposed mitigating actions, are discussed further in the table below and in each individual service EIA.

Throughout the mobilisation period and life of the contract, all service change proposals from Capita Symonds will be properly considered to ensure that due regard has been given to the PSED, including appropriate publicity, consultation and equalities impact assessments, with the results informing council approval and any subsequent decision whether to put them into effect or not. The council will ensure that this happens.

The council will keep this EIA under review through the mobilisation and contract period to:

- identify any changes;
- ensure that mitigating actions identified are implemented; and
- ensure that any necessary consultation and communication activities are taken with regard to specific change proposals, prior to any implementation decisions being taken.

When conducting this EIA, the council is assessing the service changes being proposed by Capita Symonds as part of its Final Tender, and considering whether it will have an impact on customers with any of the protected characteristics in terms of the three elements of the PSED – discrimination, equality of opportunity, and good relations.

**Does the Final Tender indicate the potential for differing outcomes for different communities?**

Services standards have been clearly defined through output specifications and Capita Symonds has committed to delivering services in accordance with these output specifications. This will ensure that existing services standards are maintained – with the potential for service improvement – and that the provider will comply with existing policies.

There is a risk that some service users, particularly older residents and some people with disabilities may find it more difficult than others to make use of new access channels using web based technology and existing means of accessing services will be maintained. The council will work proactively with Capita Symonds and other partners in helping less able residents to access services via the new channels and the benefits associated with this. [Access levels via the new channels will be monitored by protected characteristics.]

**How does the Capita Symonds Final Tender impact on satisfaction ratings amongst groups of residents?**

As existing service levels will be maintained and improved upon, it is anticipated that satisfaction will increase amongst all groups of residents. Proposals from Capita Symonds to improve the quality and scope of customer data collected will enable services to be aligned more closely to the needs of residents including those with protected characteristics. The council is setting up robust contract management and commissioning arrangements to ensure that Capita Symonds delivers against the bid and requirements of the output specifications. Capita Symonds has included a super KPI to increase customer satisfaction levels.

Introducing new technology for staff to use, and potentially changing service structures could temporarily disrupt service performance and the experience of customers and residents. This risk is mitigated through requiring Capita Symonds to design and deliver detailed and effective plans to try and ensure that change activities are seamless.

**Does the proposal enhance Barnet's reputation as a good place to work and live?**

The proposal is expected to maintain the reputation of the borough as a good place to live and work by ensuring that services are maintained and improved during a time of budget constraint.

The proposals will also help to deliver the council's ambitions to improve more deprived areas (which correlate with more ethnically diverse areas) of the borough through regeneration and growth, which will enhance the reputation of the borough. Capita Symonds plans to use Barnet as a base for public sector operations in the South East which will enhance the council's reputation as a base for services.

Capita Symonds has committed to providing a higher standard of regulation which will enhance the wellbeing of the borough's population.

### **Will members of Barnet's diverse communities feel more confident about the council and the manner in which it conducts its business?**

The proposal includes a commitment to improve satisfaction levels across the full range of DRS services, and will provide analysis of satisfaction by protected groups so that differential levels of satisfactions can be identified and measures taken to address these.

Service improvements include; a dedicated customer services team, a stronger approach to engagement with residents and business, including community liaison officers, and improved dissemination of information through a range of new channels.

There could be a tension created through the involvement of a commercial organisation in regulation, this is mitigated through the clear output specifications, a performance mechanism and set KPIs, requiring adherence to prescribed Barnet and national policies and use of a joint venture model in which the council retains a direct interest.

### **Does the Final Tender encourage the promotion of good relations between different communities?**

The proposal provides a foundation to promote and foster good relations between different communities. Firstly, by providing improved access to services for all residents and customers and offering an extended choice of contact channels and dedicated support function. Secondly, by holding user forums to engage with communities and neighbourhoods, supported by the appointment of Community Liaison Officers to improve engagement with different communities. In addition, Capita Symonds has committed to using technology – and customer engagement – to generate richer data on resident needs and customer demographics. This intelligence can be used to identify any areas of under-performance or opportunities to improve services in specific parts of the borough or to specific groups.

### **Summary Customer Equalities Impact Assessment**

The 'Summary Customer Equalities Impact Assessment' of Capita Symonds Final Tender below, provides an overarching assessment of the impact of the Final Tender on the DRS group of services as a whole. The evaluation of Capita Symonds' Final Tender indicates there are a number of anticipated positive impacts for all customers and residents, including those with protected characteristics:

- Current service performance and standards maintained via the service provider (Capita Symonds) delivering a comprehensive Output Specification for each service, with clear mechanisms in place to encourage performance improvement
- Providing a modern and accessible customer interface, giving the customer more control over how they choose to access services using a wider variety of channels

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- Developing additional customer insight and using new and more comprehensive customer engagement methods to generate additional data and insight, which can be used to design or improve services.

The summary below focuses on the potentially negative impacts or neutral impacts arising from Capita Symonds Final Tender across the 11 DRS services.

Relevant or significant changes being proposed by Capita Symonds	Groups with protected characteristics that this might impact on	Action needed to ensure no negative impact on citizens with protected characteristics	Relevant Capita Symonds commitments
<ul style="list-style-type: none"> <li>• Greater use of automated and web self-service channels and social media.</li> </ul>	<ul style="list-style-type: none"> <li>• Age (particularly older customers)</li> <li>• Disability</li> <li>• Race (specifically, those who are non-English speakers)</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure that self-service channels are designed to be accessible and user friendly, and that they are complemented by other sufficient options for supporting people not able to interact in those ways.</li> <li>• Ensure that those non-IT users (including those with protected characteristics) are able to access services as at present</li> </ul>	<ul style="list-style-type: none"> <li>• Developing and implementing a detailed Customer Access Strategy to increase and monitor resident and customer satisfaction</li> <li>• Committed to addressing customer satisfaction comparing profile of users to Barnet demographic profile, and creating &amp; implementing service plans to address deviations from Barnet profile.</li> </ul>
<ul style="list-style-type: none"> <li>• Use of new community liaison roles, resident engagement activities, and use of co-design methods when considering changes to services</li> </ul>	<p>Specific groups with protected characteristics may find it difficult to access and engage in co-design or community engagement activities (e.g. Parents may find it more difficult to find time to participate, older adults may find it more difficult to access venues for</p>	<ul style="list-style-type: none"> <li>• That citizens with protected characteristics are sufficiently involved in co-design initiatives and engagement plans and activities include sufficient representation of different demographic groups in the borough, including those with protected characteristics.</li> </ul>	<p>Developing a Stakeholder Management Plan and customer access strategy, to promote service delivery and better community engagement and co-design.</p> <p>Provision of community liaison officers and a member liaison service and the creation of a dedicated DRS Customer Service Team, which will be trained to understand and respond effectively to equalities and diversity issues</p>



Relevant or significant changes being proposed by Capita Symonds	Groups with protected characteristics that this might impact on	Action needed to ensure no negative impact on citizens with protected characteristics	Relevant Capita Symonds commitments
<p>engagement events, speakers of other languages may find it more difficult to participate in events).</p> <p>• Reorganisation of changes in structures so that they are structured differently.</p>	<p>It is difficult to foresee any differential impact on protected groups however it could feasibly impact on all</p> <ul style="list-style-type: none"> <li>- Age</li> <li>- e; Disability;</li> </ul> <p>Sex; Gender Reassignment; Marital status; Pregnancy and maternity (including teenage parents); Race; Religion or belief; Sexual</p>	<ul style="list-style-type: none"> <li>• That there is an effective process of transferring and formalising aspects of service that promote equalities but which rely on the knowledge and experience of individuals</li> <li>• That staff experiencing change are effectively supported so that service standards do not slip</li> <li>• That new post holders and posts are supported to acquire sufficient understanding of their equalities and diversity obligations, and equipped to provide effective services to all customers and residents</li> <li>• An effective change management programme including effective staff support and training to ensure that any disruption caused by the introduction of new technology is mitigated so that</li> </ul>	<ul style="list-style-type: none"> <li>• Capita Symonds will operate a comprehensive change programme governance approach including a full communication and engagement plan to integrate staff into the new organisation quickly and effectively. A People Care programme will cover welcome presentation, induction, staff bulletins, confidential email helpline, staff drop in sessions, one-to-one meetings, regular Q&amp;As, amongst other things.</li> <li>• Capita Symonds has committed to minimising the impact of redundancy through growth into other partner organisations, redeployment throughout other - Capita businesses, managing vacancies and temporary staff and natural shrinkage.</li> <li>• Commitment to comply with the council's policies when delivering services</li> </ul>
<p>• Introduction of new technology for staff to use.</p>	<p>It is difficult to foresee any differential impact on protected groups however it could feasibly impact on all</p> <ul style="list-style-type: none"> <li>- Age; Disability;</li> </ul>	<ul style="list-style-type: none"> <li>• A comprehensive improvement in IT and training for staff. This will enable staff to process service requests more quickly, update cases on site and to collate more detailed data relating to the type of service requests and the service users. This data will be used to ensure that the service provided meets customers' needs and</li> </ul>	<ul style="list-style-type: none"> <li>• A comprehensive improvement in IT and training for staff. This will enable staff to process service requests more quickly, update cases on site and to collate more detailed data relating to the type of service requests and the service users. This data will be used to ensure that the service provided meets customers' needs and</li> </ul>

Relevant or significant changes being proposed by Capita Symonds	Groups with protected characteristics that this might impact on	Action needed to ensure no negative impact on citizens with protected characteristics	Relevant Capita Symonds commitments
<ul style="list-style-type: none"> <li>Collecting better quality data about customers, including satisfaction and complaints data, developing customer profiles, analysing and using it to improve services and provide information to decision-makers</li> </ul>	<p>Sex; Gender Reassignment; Marital status; Pregnancy and maternity (including teenage parents); Race; Religion or belief; Sexual</p> <ul style="list-style-type: none"> <li>It is impossible to foresee any differential impact on protected groups however it could feasibly impact on all – Age; Disability; Sex; Gender reassignment; Marital status; Pregnancy and maternity (including teenage parents); Race; Religion or belief; Sexual Orientation</li> </ul>	<p>it does not affect the quality of service provided</p> <p>That this data covers protected characteristics, where appropriate, and that findings about under-representation and dissatisfaction are acted upon</p>	<p>the demographic make-up of the borough</p> <ul style="list-style-type: none"> <li>Provision of systems and a dedicated team of staff (Insight Team), to collate social, economic and demographic data and monitor the change in service usage and trends in Barnet's demographic make-up. This will include the extent to which service delivery and access to services reflects population growth and increasing diversity. They will ensure equality and diversity data informs ongoing service improvements.</li> <li>CSL will initially fund £250,000 in a Barnet Observatory to understand social and economic trends and use this to best meet local needs. The total investment in the Barnet Observatory will be £1.04m over ten years.</li> </ul>

Relevant or significant changes being proposed by Capita Symonds	Groups with protected characteristics that this might impact on	Action needed to ensure no negative impact on citizens with protected characteristics	Relevant Capita Symonds commitments
<ul style="list-style-type: none"> <li>• Providing more effective and efficient regulation and regulatory services in accordance with council policies</li> </ul>	<ul style="list-style-type: none"> <li>• Age</li> <li>• Disability</li> <li>• Gender reassignment</li> <li>• Marital status</li> <li>• Pregnancy and maternity (including teenage parents)</li> <li>• Race</li> <li>• Religion or belief</li> <li>• Sex</li> <li>• Sexual orientation</li> </ul>	<p>Robust contract management and commissioning arrangements to ensure that Capita Symonds delivers against the bid and requirements, key performance indicators and council policies and equalities duties.</p>	<ul style="list-style-type: none"> <li>• Delivery of comprehensive output specifications for each service, with clear key performance indicators and mechanisms in place to encourage performance improvement and secure positive outcomes for customer service experience, residents welfare and business activities.</li> </ul>
<ul style="list-style-type: none"> <li>• Encouraging and enabling sustainable development, growth and regeneration in accordance with council policies</li> </ul>	<ul style="list-style-type: none"> <li>• Age</li> <li>• Disability</li> <li>• Gender reassignment</li> <li>• Marital status</li> <li>• Pregnancy and maternity (including teenage parents)</li> <li>• Race</li> <li>• Religion or belief</li> <li>• Sex</li> <li>• Sexual orientation</li> </ul>	<p>Robust contract management and commissioning arrangements to ensure that Capita Symonds delivers against the bid and requirements, key performance indicators and council policies and equalities duties</p>	<ul style="list-style-type: none"> <li>• Offering new business support and advisory services to help local traders, give support to local town centre forums, reduce the number of vacant high street properties compared to other comparable boroughs.</li> <li>• Finding new ways to secure funding, including setting an overarching performance measure to increase the success of Barnet in winning Central Government funding to invest into the borough</li> <li>• Maximising the financial and economic benefits of new developments including increased receipts of New Homes Bonus, Community Infrastructure Levy, Business Rate report to fuel re-investment and deliver key infrastructure to</li> </ul>

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<p><b>Relevant or significant changes being proposed by Capita Symonds</b></p>	<p><b>Groups with protected characteristics that this might impact on</b></p>	<p><b>Action needed to ensure no negative impact on citizens with protected characteristics</b></p>	<p><b>Relevant Capita Symonds commitments</b></p>
			<p>secure sustainable growth in the borough</p> <ul style="list-style-type: none"> <li>• Providing new capacity to accelerate regeneration project delivery and unlock stalled projects</li> </ul>

The table below summarises aspects which demonstrate how the council will monitor the service provider to delivery services and meet equalities duties. These aspects are considered to have no impact (neutral) across the 11 DRS services.

<p><b>Relevant area</b></p> <ul style="list-style-type: none"> <li>•Activities or measures undertaken by the services which promote the PSED.</li> </ul>	<p><b>Groups with protected characteristics that this might impact on</b></p> <ul style="list-style-type: none"> <li>•Age</li> <li>•Disability</li> <li>•Gender reassignment</li> <li>•Marital status</li> <li>•Pregnancy and maternity (including teenage parents)</li> <li>•Race</li> <li>•Religion or belief</li> <li>•Sex</li> <li>•Sexual orientation</li> </ul>	<p><b>Action needed to ensure no impact groups with protected characteristics</b></p> <ul style="list-style-type: none"> <li>•Client team to ensure that all activities and measures currently undertaken in the baseline are retained by Capita Symonds.</li> </ul>	<p><b>Relevant Capita Symonds commitments</b></p> <ul style="list-style-type: none"> <li>•Capita Symonds will retain activities or measures currently undertaken by the services which promote the PSED.</li> </ul>
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Relevant area	Groups with protected characteristics that this might impact on	Action needed to ensure no impact groups with protected characteristics	Relevant Capita Symonds commitments
<ul style="list-style-type: none"> <li>• Compliance with the council's Equal Opportunities Policy and adhering to equalities legislation.</li> </ul>	<ul style="list-style-type: none"> <li>• Age</li> <li>• Disability</li> <li>• Gender reassignment</li> <li>• Marital status</li> <li>• Pregnancy and maternity (including teenage parents)</li> <li>• Race</li> <li>• Religion or belief</li> <li>• Sex</li> <li>• Sexual orientation</li> </ul>	<ul style="list-style-type: none"> <li>• Client to monitor that Capita Symonds complies with the council's Equal Opportunities Policy and equalities legislation including the PSED.</li> </ul>	<ul style="list-style-type: none"> <li>• Capita Symonds will fully comply with the council's Equal Opportunities Policy and adhering to equalities legislation.</li> </ul>
<ul style="list-style-type: none"> <li>• Conducting EIAs.</li> </ul>	<ul style="list-style-type: none"> <li>• Age</li> <li>• Disability</li> <li>• Gender reassignment</li> <li>• Marital status</li> <li>• Pregnancy and maternity (including teenage parents)</li> <li>• Race</li> <li>• Religion or belief</li> <li>• Sex</li> <li>• Sexual orientation</li> </ul>	<ul style="list-style-type: none"> <li>• Client team to ensure and monitor that EIAs are undertaken as appropriate prior to certain policy changes and/or service redesign.</li> </ul>	<ul style="list-style-type: none"> <li>• Capita Symonds will undertake EIAs as appropriate where changes to services are being considered prior to their approval and implementation and in order that the PSED is satisfied.</li> </ul>
<ul style="list-style-type: none"> <li>• Language and translation services.</li> </ul>	<ul style="list-style-type: none"> <li>• Race</li> <li>• Disability</li> </ul>	<ul style="list-style-type: none"> <li>• Client team and Capita Symonds service teams to monitor translation requirements of customers and recommend utilisation of necessary language services as required and in accordance with the council's translation and interpretation policy.</li> </ul>	<ul style="list-style-type: none"> <li>• Capita Symonds have not committed to any activities that will improve accessibility for those customers that do not have English as their first language but the council's existing policies in this regard, by which Capita Symonds will be required to comply, are comprehensive.</li> </ul>

## Equalities Impact Assessment of Capita Symonds' Final Tender for Environmental Health

### 1. Introduction

#### Current Situation

Environmental Health (EH) is a complex and highly regulated service, and fulfils a number of statutory requirements for the council. The Environmental Health Service is split into two divisions; Residential and Commercial. The work involves provision of education, support and advice as well as regulation, which involves a range of either reactive or proactive inspections.

**The Environmental Health Residential Division:** encompasses the functions of Private Sector Housing (including surveys, inspections and licensing), Public Health & Nuisance (including noise, drainage, smoke and odours, pest control) and Care & Repair (including provision of Disabled Facilities Grants and other interventions to enable vulnerable older people to live independently in their own homes).

**The Environmental Health Commercial Division:** covers the functions of Food Safety, Health & Safety, and Scientific Services. The Food Safety Team carry out proactive and reactive inspections of food businesses for compliance with food hygiene and standards requirements and infectious disease control. Health & Safety carry out proactive and reactive inspections of both food and non-food premises, investigate workplace accidents and incidents and license premises such as pet shops and those providing special treatments, such as massage and sun beds. Scientific Services investigate nuisance complaints, monitor air quality, authorise certain industrial processes and provide specialist advice, including consultations on planning applications.

There are approximately 2,300 food premises in Barnet, which are subject to a risk based inspection programme. There are estimated to be a further 10,000 non-food workplaces in the borough, which fall to the council for enforcement of the Health & Safety at Work Act. The range and types of premises and businesses in the borough reflect the diversity of the population of Barnet. Customer groups are split into those who approach EH directly for a service and businesses which are identified by EH for proactive inspection. Housing interventions are often focussed on supporting the most vulnerable residents.

The end users of the Environmental Health service are Barnet residents, and those working or spending time using facilities in the borough. Therefore, the most relevant data set is the borough-wide demographic data. Currently, whilst customer satisfaction data is collected for some areas and equalities monitoring forms are distributed to some customers, there is no comprehensive monitoring of the profile of EH service users to establish if they match the demographic makeup of the borough

#### Summary of the Final Tender

Capita Symonds' solution to carry out work currently undertaken by the council's in-house Environmental Health team will include the following commitments that are directly related to the PSED:

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- A comprehensive improvement in IT for staff. This will enable staff to process service requests more quickly, update cases on site and to collate more detailed data relating to the type of service requests and the service users. This data will be used to ensure that the service provided meets customers' needs and the demographic make-up of the borough.
- Services tailored to meet customer needs and priorities through analysis of data provided via a single and comprehensive view of customers from DRS and NSCSO information, which will be shared securely.
- Customer satisfaction measurement surveys, which will capture demographic information from respondents for comparison with the Barnet profile, which will then inform actions to improve service delivery.
- Promote change in the method of accessing the service from non IT to web-based services (channel shift).
- Provision of a dedicated team of staff (Insight Team), to monitor the change in service usage and trends in Barnet's demographic make-up. This will include the extent to which service delivery and access to services reflects population growth and increasing diversity. They will ensure equality and diversity data informs ongoing service improvements.
- Compliance with the council's Equal Opportunities Policy.
- Training for all staff in customer care and awareness of equalities and diversity issues.
- Creation of a dedicated DRS Customer Service Team, which will be trained to understand and respond effectively to equalities and diversity issues.
- A flexible service delivery model which will cater for anticipated increases in diversity and the growing population of Barnet. This means that staff could be transferred from one area of EH to another area, depending on the specific needs, or a specific concern (e.g. if there is food poisoning outbreak).
- The proposal indicates that annual reports of service usage and demographic profiling will be conducted at ward level which will be made available to members.
- To increase the availability of disabled facilities grants by reducing the average cost of works, monitored through a KPI.

A summary of the impact on groups with protected characteristics outlined within Equalities legislation is presented below:

Capita Symonds will ensure equality and diversity monitoring will inform ongoing service improvements. This will impact all groups equally.

- Age – There is likely to be a positive impact for older people, in that particular monitoring is to be undertaken of the age profile of the borough's population to ensure that service delivery and access is reflective of the profile.



- Disability – There is likely to be a positive impact through reduced cost of adaptations which will enable more of these to be delivered
- Gender reassignment – There is unlikely to be any impact.
- Marital status – There is unlikely to be any impact on.
- Pregnancy and maternity (including teenage parents) – There is unlikely to be any impact
- Race – There is unlikely to be any impact.
- Religion or belief – There is unlikely to be any impact.
- Sex – There is unlikely to be any impact.
- Sexual orientation – There is unlikely to be any impact.

## **2. The diversity profile of the service's customers (people from groups with protected characteristics)**

### **Current situation**

DRS grouping of services utilise borough-wide demographic data as a primary source of intelligence and information about customers. The Environmental Health services provide a range of universal services to all residents. We recognise it is possible to generate additional customer intelligence and insight for EH and use this to assess future service needs and meet equalities and diversity duties. The data currently gathered on the service data management system, ACOLAID, is focused on the detail of the case and not on the specific demographic details of the customer.

As an aside, there is anecdotal evidence that Black Minority Ethnic (BME) customers are proportionately over-represented in the catering industry.



Changes relating to customer information

	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>Positive Capita Symonds has committed to ensuring that the customer is referred to all the relevant services for their needs. This includes staff training on other services available that may be relevant to DRS customers (sign posting). This will help to ensure that customers will have the best chance to access all the most appropriate services for their needs. This will equally affect groups with protected characteristics outlined within equalities legislation.</p>	<p>Low</p>	<p>Low</p>	<p>Regularly review impact on profile and redesign service provision accordingly.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p>
<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>Positive Capita Symonds will provide a web-based service that will help customers have access to all services linked to their specific enquiry e.g. a noise complaint concerning a faulty alarm ringing. A customer can check on progress of case without having to ring in. This will help to ensure that customers will have the best chance to access all the most appropriate services for their needs. This will equally affect groups with protected characteristics</p>	<p>Low</p>	<p>Low</p>	<p>Regularly review impact on customer profile and redesign service provision accordingly. For residents and customers with protected characteristics, information relating to their case will need to be available through other channels, such as</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p>

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	<p>outlined within equalities legislation who are IT literate.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>				
<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>Positive</p> <p>Capita Symonds to provide a team to monitor the service usage by customer type based on the protected characteristics and assess if this is representative of demographic change in Barnet (Insight Team). This will better inform the service delivery teams in on-going service redesign. This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	<p>High</p>	<p>Medium</p>	<p>Based on the data gathered on the demographic profile, regularly redesign service provision e.g. the increasing population over the age of 80 are less likely to be regular IT users.</p>	<p>Capita Symonds</p> <p>3 months from introduction and then quarterly.</p>
<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>Positive</p> <p>Capita Symonds will ensure that the services are designed to meet the needs of the customer through data analysis. This will be done through data sharing between DRS and NSCSO. This will help to ensure that DRS customers are provided with all the services that</p>	<p>High</p>	<p>Medium</p>	<p>Regularly review data on customer profile and service requirements, and ensure that the redesigned service appropriately meets those requirements. e.g. staff suitably trained to meet the needs of all</p>	<p>Capita Symonds / Council</p> <p>3 months from introduction and then quarterly.</p>

<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>will help them meet their needs. This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	<p>High</p>	<p>High</p>	<p>groups with protected characteristics outlined within Equalities legislation.</p>	<p>Capita Symonds / NSCSO</p>	<p>Within the first 3 months.</p>
<p>Positive Capita Symonds will improve measurement of customer satisfaction through regular surveys that capture demographic and geographical information as well as undertaking the survey through a variety of methods to ensure engagement with a variety of clients.  This will provide a much clearer picture of customer satisfaction with the services and through the variety of methods should ensure that all client groups get to give feedback.  This will impact on all groups with protected characteristics.</p>	<p>Ensure regular surveys are undertaken and that these are undertaken in a variety of methods.</p>	<p>High</p>	<p>High</p>	<p>Capita Symonds / NSCSO</p>	<p>Within the first 3 months.</p>	<p>Within the first 3 months.</p>

**3. The experience of customers from groups with protected characteristics**

**Current situation**

Based on the 2011 Residents' Perception Survey (NB this question was not included in 2012/13 RPS), users are much more likely to rate the service as 'good to excellent' (62%) compared to all respondents (28%). A quarter of users (24%) rated the service as 'average' and 8% rated is as 'poor to extremely poor'. Residents as whole are more likely to say they did not know.

Based on the Disabled Facilities Grant (DFG) Systems Thinking Pilot (December 2010-present), 147 out of 173 (85%) gave the DFG pilot a score of nine or ten out of ten, while eight out of 173 (c. 5%) gave it a score of seven or below out of ten. This is a targeted statutory service – the adult clients must be both disabled and financially vulnerable to qualify for assistance. Note that the DFG is a grant

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available to help pay for necessary adaptations to remove the physical barriers that prevent the applicant living safely and independently in their own home. Disabled people can get a grant if they are owner-occupiers or tenants of privately owned and housing association properties. The parents or guardians of a disabled child under the age of 19 are also eligible. Any works must be specified by an Occupational Therapist (OT). In general they should improve freedom of movement around the house and use of the facilities for the disabled person.

The recorded results for the sample survey of Pest Treatments indicated that out of 19 responses, 16 (84%) gave the service a score of a nine or ten out of ten (two gave a score of eight, while one wasn't able to respond).

Based on the Food and Health & Safety Survey (2011) where 26 randomly selected businesses which had received an inspection within the previous 6 months, 97% found the inspection 'helpful or very helpful'. 100% of the respondents thought that the written information provided was 'clear or very clear'; and, 100% found the subsequent revisits 'useful or very useful'.

Results of monitoring data on National Indicator 182 (Satisfaction of business with local authority regulation services) for 2010/11 (this was the last year that this indicator was collected) showed that 89% of surveyed businesses were satisfied with Regulatory Services (Environmental Health, Trading Standards and Licensing). Specifically, it showed that:

- 87% of non-compliant businesses thought their business was treated fairly.
- 92% of non-compliant businesses thought the contact was helpful.
- 90% of compliant businesses thought their business was treated fairly.
- 87% of compliant businesses thought the contact was helpful.

Finally, based on the GovMetric data (November 2012), respondents reported there was a lack of information on how to report (and the length of time it takes to resolve) incidents of noise pollution. Those who provided this feedback came from the 25-54 age groups.

Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Access Strategy</b></p>	<p>Positive</p> <p>Capita Symonds will enable greater use of web based access e.g. logging service requests, monitoring case progress, applying for licences online (Channel shift).</p> <p>Improved web facilities will enable IT literate customers to have improved electronic service provision. It will provide increased opportunity to access the service without assistance from council officers (self-serve).</p> <p>This will equally affect groups with protected characteristics outlined within Equalities legislation who are IT literate.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	<p>Low</p>	<p>Low</p>	<p>Regularly review customer feedback data, and ensure that the redesigned service appropriately meets those requirements accordingly.</p> <p>Ensure that service provision for non-IT literate customers is improved e.g. comprehensive call handling and outreach work, and alternative opportunities to self-service developed, development of user groups, availability of comprehensive literature, use of community champions.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p>

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<p><b>Customer Satisfaction</b></p>	<p>Positive</p> <p>Capita Symonds' proposals (Community Liaison Officers, end user satisfaction surveys, annual customer satisfaction surveys, service improvement groups, formal customer feedback, telephone surveys after a service has been provided, web based surveys after a service has been provided, use of MORI and mystery shopping) are significantly more comprehensive than the systems currently in place for measuring customer satisfaction and equalities.</p> <p>This will help to ensure that customers will have the best chance to access a high quality of service that is most appropriate for their needs.</p> <p>This will equally affect groups with protected characteristics outlined within Equalities legislation.</p> <p>There is also potential for negative effects, requiring mitigation. There are those with protected characteristics who may not benefit from this – including older adults, non-English speakers and those with disabilities, or parents may find it more difficult to access these events or interactions.</p>	<p>High</p>	<p>Medium</p>	<p>Ensure that customer feedback is reviewed and the service improved in line with feedback.</p> <p>Ensure that feedback is received in a proportionally representative number from IT and non-IT literate groups and groups with protected characteristics.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p> <p>Systems in place prior go live. To be monitored 3 months from introduction and then quarterly.</p>
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<b>Training</b>	<p>Positive</p> <p>Capita Symonds will train Customer Service Staff in equalities. This will help ensure a comprehensive service is provided to all customers.</p> <p>This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	High	Medium	Customer Services Staff to be "Mystery Shopped" to ensure that they are dealing appropriately with all customers/service requests regardless of diversity profile.	Capita Symonds	Prior to go live and ongoing throughout the contract
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#### 4. The existing arrangements for monitoring and promoting equality and diversity

##### Current situation

Carrying out an EIA is a requirement for any budget, project, policy or service change within the directorate. EIAs test the impact of such changes on the protected characteristics. Support and monitoring of this activity is facilitated by the Strategy and Performance function.

- Services are delivered face-to-face through site visits and by telephone, written correspondence and reports. Information is also left at business premises during routine inspections or visits in response to complaints.
- Correspondence can be provided in translated format in community languages and interpreters can be arranged where required, either face-to-face or by telephone.
- Information for residents seeking assistance is on the council's website and advice is provided to callers. The layout of and information contained in the website was reviewed and updated in 2011/12.
- In the future, being able to understand the ethnic background of people requesting services would enable the team to know if there are any groups in Barnet that were not accessing services.

##### Care and Repair

- Fees are charged by Care and Repair for any works organised or supervised and these are funded through the DFG, where applicants are eligible. There is no charge for an initial assessment and there is no means test or upper savings limit applied to receive information.

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### Private Sector Housing

- Environmental Health Enforcement, Private Sector Housing and Financial Assistance Policy – staff actions are audited at 1:1s to ensure decisions are in accordance with the policy.

### Public Health and Nuisance

- Environmental Health Enforcement Policy – staff actions are audited at 1:1s to ensure decisions are in accordance with the policy.

### Pest Treatment

- Fees are charged for pest control treatments. Owner occupiers on means tested benefits are charged 35% of the full pest treatment fee.

### Food and Health & Safety

- Environmental Health Enforcement Policy – staff actions are audited at 1:1s to ensure decisions are in accordance with the policy.

DRS grouping of services utilise borough-wide demographic data as a primary source of intelligence and information about customers. The Environmental Health services provide a range of universal services to all residents. Currently, whilst customer satisfaction data is collected for some areas and equalities monitoring forms are distributed to some customers, there are no standing, comprehensive equalities monitoring mechanisms for the profile of EH service users to establish if they match the demographic makeup of the borough.



Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Services tailored to customer needs through consideration of data from DRS and NSCSO.</b></p>	<p>Positive</p> <p>An increased understanding by Capita Symonds of the needs of customers assisted by the service will help improve the service provided (analysis via a single view of data from DRS and NSCSO).</p> <p>This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	High	Medium	Regularly review customer feedback data, and ensure that the redesigned service appropriately meets those requirements accordingly.	Capita Symonds	3 months from introduction and then quarterly.

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<p><b>Capita Symonds will promote a Channel Shift</b></p>	<p>Positive</p> <p>Capita Symonds will enable greater use of web based access e.g. some customers will log service requests, monitor case progress, and apply for licences on line (channel shift).</p> <p>Improved web facilities will enable IT literate customers to have improved electronic service provision. It will provide increased opportunity to access the service without assistance from council officers (self-serve).</p> <p>This will equally affect groups with protected characteristics outlined within equalities legislation who are IT literate.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	<p>High</p>	<p>High</p>	<p>Ensure that the systems set up by Capita Symonds are user friendly, that feedback is appropriately monitored and used to assist in service redesign.</p> <p>Ensure that service provision for non-IT literate customers is improved e.g. comprehensive call handling and alternative opportunities to self-service developed e.g. availability of comprehensive literature.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p>
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<p><b>Use of extensive Customer Satisfaction monitoring tools by Capita Symonds</b></p>	<p>Positive</p> <p>The proposals made by Capita Symonds to measure customer satisfaction (Community Liaison Officers, end user satisfaction surveys, annual customer satisfaction surveys, service improvement groups, formal customer feedback, telephone surveys after a service has been provided, web based surveys after a service has been provided, use of MORI and mystery shopping) are extensively more comprehensive than the systems currently in place and so should result in a greater understanding of customers and their needs.</p> <p>There is also potential for negative effects, requiring mitigation. There are those with protected characteristics who may not benefit from this – including older adults, non-English speakers and those with disabilities, or parents may find it more difficult to access these events or interactions.</p>	<p>High</p>	<p>High</p>	<p>Ensure that the customer satisfaction monitoring tools used by Capita Symonds are effective and that feedback is appropriately monitored and used to assist in service redesign.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p>
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<p><b>Capture demographic information from respondents for comparison with Barnet profile</b></p>	<p>Positive Through dedicated Insight posts Capita Symonds will consider the extent to which service delivery and access to services reflects the growth in population and increasing diversity. Based on this data Capita Symonds will ensure equality and diversity informs on going service improvements. This will equally affect groups with protected characteristics outlined within equalities legislation.</p>	<p>High</p>	<p>High</p>	<p>Ensure that the data on which assumptions are being made is statistically representative.</p>	<p>Capita Symonds / Council</p>	<p>3 months from introduction and then quarterly.</p>
<p><b>Annual reports of service usage and demographic profiling at ward level).</b></p>	<p>Positive EH does not currently carry out regular monitoring of service usage and how it compares with the demographic profile. Access to this information will enable an informed approach to equality and diversity. This will equally affect groups with protected characteristics outlined within equalities legislation.</p>	<p>High</p>	<p>High</p>	<p>Ensure that the data on which assumptions are being made is statistically representative.</p>	<p>Capita Symonds / Council</p>	<p>3 months from introduction and then quarterly.</p>

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<p><b>Capita Symonds is fully committed to compliance with the council's Equal Opportunities Policy.</b></p>	<p>Positive Continued use of the current policy will bring confidence from customers that Capita Symonds is working in line with council requirements. However the additional data being collected on service usage and demographic profiling at ward level will assist with compliance.  This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	<p>Low</p>	<p>Low</p>	<p>All new staff are to be trained on the Equal Opportunities policy and compliance with it. Refresher training is to be provided to existing staff annually or more often if issues are highlighted. Cases to be monitored to ensure compliance with the policy.</p>	<p>Capita Symonds / Council</p>	<p>From go live and then quarterly.</p>
<p><b>Capita Symonds will train all DRS staff in customer care and awareness of equalities and diversity issues.</b></p>	<p>Positive This will improve the awareness of staff to the specific needs of their customers. This should help improve the service provided to customers.  This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	<p>Medium</p>	<p>High</p>	<p>New members of staff are to be trained in customer care and awareness of equalities, and diversity issues. Refresher training is to be provided to existing staff annually or more often if issues are highlighted. Cases to be monitored to ensure service being provided in line with the training completed.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p>

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<p><b>A flexible service delivery to cater for anticipated increases in diversity and the growing population of Barnet.</b></p>	<p>Positive</p> <p>Currently there is no flexibility in service delivery in response to the diversity and growing population of Barnet. This initiative will allow for a more effective and more easily adaptable service.</p> <p>This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	<p>High</p>	<p>Medium</p>	<p>Service provision is to be streamlined and significant improvements delivered in IT infrastructure to enable increased service flexibility with the existing number of staff whilst delivering business as usual. This will ensure that service delivery can be appropriately targeted depending on the needs of the borough's population.</p>	<p>Capita Symonds</p>	<p>3 months from go live.</p>
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<b>Benchmarking</b>	Positive There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision	High	Medium	Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception. Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.	Council	Within 3 months and on-going thereafter.
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**5. Existing known equalities issues in the service**

**Current situation**

Currently, whilst customer satisfaction data is collected for some areas and equalities monitoring forms distributed to some customers there is no comprehensive monitoring of the profile of service users and if they match the demographic makeup of the borough. Equally there is no service redesign to ensure that groups with protected characteristics outlined within Equalities legislation are catered for. There is also no proactive surveying of non-service users to understand why they do not access the service e.g. lack of knowledge or lack of need.

Overall, service demand generally exceeds capacity. Whilst there are a number of targeted projects that are desirable, for example crime reduction and anti-social behaviour there is currently little capacity to make a significant impact.

Anecdotally, it is stated that providing information in other languages is often ineffective, as the recipient is often illiterate in their own language as well as being unable to read English.

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Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Lack of comprehensive equalities data.</b></p>	<p>This issue will be addressed through Capita Symonds providing:            Dedicated officers to capture demographic information from respondents for comparison with Barnet profile (Insight Analysts).            Annual reports to be provided of service usage and demographic profiling at ward level (by Insight Team).            A commitment to compliance with the council's Equal Opportunities Policy.            Training of all DRS staff in customer care and awareness of equalities and diversity issues.            A flexible service delivery to cater for anticipated increases in diversity and the growing population of Barnet.            These service improvements will ensure that the quality of service provision to all groups can be measured and targeted appropriately to the boroughs demographic profile.            These service developments will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	<p>High</p>	<p>High</p>	<p>All data is to be monitored to ensure it is comprehensive.             Ensure data is utilised to inform service improvements.</p>	<p>Capita Symonds             Capita Symonds</p>	<p>3 months from go live and then quarterly.             3 months from go live and then quarterly.</p>



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<p><b>Staff training in equalities and diversity issues is not current.</b></p>	<p>Capita Symonds has provided a full commitment to compliance with the council's Equal Opportunities Policy.</p> <p>All DRS staff will be trained in customer care and awareness of equalities and diversity issues, including the PSED. This will improve the awareness of staff to the specific needs of their customers. This should help improve the service provided to customers.</p> <p>This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	<p>High</p>	<p>Medium</p>	<p>Cases to be monitored to ensure compliance with the council's Equal Opportunities Policy, and constantly review data to identify potential service improvements.</p>	<p>Capita Symonds</p>	<p>Training completed 1 month from go live and then service monitored quarterly.</p>
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## Equalities Impact Assessment of Capita Symonds' Final Tender on Strategic Planning

### 1. Introduction

#### Current Situation

The service works very closely with Planning (Development Management) and is currently comprised of the following five teams:

**The Major Development Team:** leads on major strategic projects such as regeneration and town centre strategies. The team is responsible for the submission and processing of major and strategic applications, and the development of the Area Action Plans and planning briefs.

**The Design & Heritage Team:** responsible for planning applications on listed buildings, and those within conservation areas (there are currently eighteen of these within the borough). Performing both strategic and delivery roles, the team provides a statutory function as an advisory to other organisations, is responsible for processing Conservation Area applications, undertakes character appraisals and creates advice notes, and offers a wider advice function for urban design elements of all schemes across planning services.

**The Planning Policy Team:** leads on defining and interpreting statutory requirements, providing views on land use, and monitoring changes in building usage. In addition to liaising with the Greater London Authority (GLA) for the adoption of new guidelines, the team are currently developing the Local Plan.

**The Housing Strategy Team:** responsible for service development and policy – housing strategy and policy is reviewed every year with a full update every 3 to 5 years. This involves engagement with the private landlord sector, older people's housing, and responding to national and regional initiatives. The team also acts as the management information and performance reporting function for the directorate, and in carrying out their work they have to perform consultations, conduct surveys and make use of focus groups. Externally the team liaises with the North London Housing sub-region, local housing associations, other housing agencies, homelessness organisations and Citizens' Advice Bureau, whilst internally they have strong links to the Regeneration service.

**The Infrastructure & Section 106 Team:** leads on the development and delivery of the borough's Infrastructure Delivery Plan, and coordinates Section 106 funded initiatives.

#### Summary of the Final Tender

Capita Symonds' proposals for Strategic Planning include the following:

#### Key commitments:

- Investment in upgrading the ICT system and mobile technology.

- Improved stakeholder engagement with residents and businesses, and to conduct regular customer surveys.
- Retention of the existing structure of a Strategic Planning and additional capacity and specialist capability.
- Creation of a new 'Barnet Fund' and 'Barnet Observatory' to support infrastructure and policy development.
- Growth of the Strategic Planning service through consultancy.

**Main equalities commitments:**

The proposals in the bid will help the Strategic Planning service to fulfil its PSED to:

- Eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act.
- Advance equality of opportunity by removing or minimising disadvantages experienced by people due to their protected characteristics, meeting the needs of particular groups and encouraging underrepresented groups to participate in public life and
- Foster good relations between those sharing and those not sharing protected characteristics by tackling prejudice and promoting understanding.

**By:**

- Providing analytics function to enhance engagement with service users and tailoring of services to their needs and priorities.
- Investing in an Insight capability to record and analyse customer engagement, including Customer Liaison Officers and new ICT function.
- Creating a Stakeholder Development Plan to identify key stakeholders, evaluate importance to service delivery and address any shortcomings.
- Setting up social media user groups for close engagement with customers.
- Providing support to the council to manage its relationship with Barnet Homes to ensure efficient and effective management of housing stock and relationships with tenants and leaseholders.
- Minimising areas of private sector housing where there are high concentrations of single elderly occupiers.

**Impact on groups with protected characteristics:**

- Age – There is likely to be an impact on older people from focus on use of social media to obtain customer feedback.
  - Older people less likely to use social media. Can be mitigated by offering range of channels including phone or face-to-face contact for providing customer feedback, see below on customer satisfaction.

- Disability – There is unlikely to be any impact.
- Gender reassignment – There is unlikely to be any impact.
- Marital status – There is unlikely to be any impact.
- Pregnancy and maternity – There is unlikely to be any impact.
- Race – There is likely to be an impact on people whose first language is not English from focus on use of social media.
  - Can be mitigated by offering range of channels including phone or face-to-face contact for providing customer feedback, see below on customer satisfaction, and by drawing attention to the council's translation policy.
- Religion or belief – There is unlikely to be any impact.
- Sex – There is unlikely to be any impact.
- Sexual orientation – There is unlikely to be any impact.

## 2. The diversity profile of the service's customers (people from groups with protected characteristics) Current situation

Strategic Planning does not provide services directly to residents, but is responsible for key strategic documents that set out the council's ambitions and policies for the physical environment, including the planning policies, the housing strategy and engagement with developers on major developments. As with the rest of the DRS grouping of services, borough wide demographic data is utilised as a primary source of intelligence and information about residents, as the impact of planning and housing policy affects the whole borough. This information is supplemented by additional data available at a more local level, such as equalities monitoring data held in respect of council tenants, and specific pieces of work such as consultation exercises on planning and housing policy.

The latest census information shows how diversity has increased during the last decade:

% of population by ethnicity					
Census Date	White	Mixed	Asian	Black	Other
2001	74%	3%	12%	6%	5%

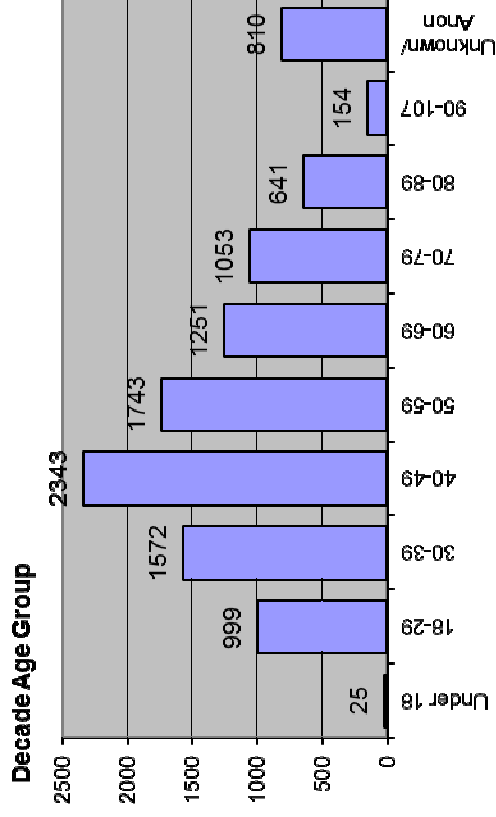
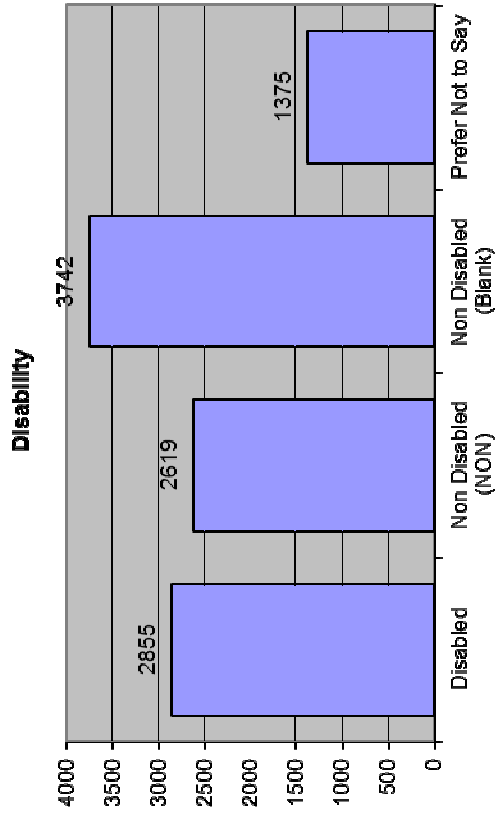
**Appendix 2 (ii)**

2011	64%	4.9%	18.4%	7.7%	4.9%
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The Housing Policy team is involved in policy development which has a particular impact on those in Housing Need and Council Tenants. Data for these groups show a greater level of diversity than for the population as a whole:

Major Ethnic Group (Alphabetical)	NON Regen Tenants Total (Nov12)	NON Regen Tenants Total %	NON Regen Tenants Total % Known	Regen Tenants Total (Nov12)	Regen Tenants Total %	Regen Tenants Total % Known
BME	2551	30.8%	37.1%	1065	46.4%	58.0%
NON BME	4323	52.1%	62.9%	770	33.5%	42.0%
Prefer Not to Say	647	7.8%	-	127	5.5%	-
Unknown/ Anon	773	9.3%	-	334	14.5%	-
<b>Grand Total</b>	<b>8294</b>	<b>100.0%</b>	<b>100.0%</b>	<b>2296</b>	<b>100.0%</b>	<b>100.0%</b>

The graphs below illustrate a summary of the disability profile of all tenants as well as the age group breakdown. Based on the data, there are 2,855 disabled tenants (c. 27%). The bulk of tenants (slightly over 50%) come from the 30-59 age groups.



The overall impact of proposals for Strategic Planning are positive, as improved customer analysis, insight and engagement will ensure that a proper account is taken of the diverse needs of residents in bringing forward planning and housing policy and strategy documents.

Changes relating to customer information

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Single Customer View</b></p>	<p>Positive</p> <p>Enhanced Citizen Engagement in Strategic Planning.</p> <p>Capita Symonds will review the council's approach to community engagement in plan-making and extend the range of skills available for engagement with residents and businesses in Barnet</p> <p>Improvements by Capita Symonds to community engagement methods will help Strategic Planning reach a wider audience, including groups with protected characteristics, in producing strategic planning documents</p> <p>Negative</p> <p>Community engagement may not reach all groups, particularly those with disabilities, non-English speakers or parents.</p> <p>This proposal will impact on all groups with protected characteristics.</p>	<p>Medium</p>	<p>Medium</p>	<p>Regularly conduct citizen engagement and gather key inputs to inform service plans.</p> <p>Monitoring of levels of customer engagement on documents forming part of the Local Plan against the diversity profile.</p>	<p>Capita Symonds</p>	<p>Within 12 months and ongoing.</p>

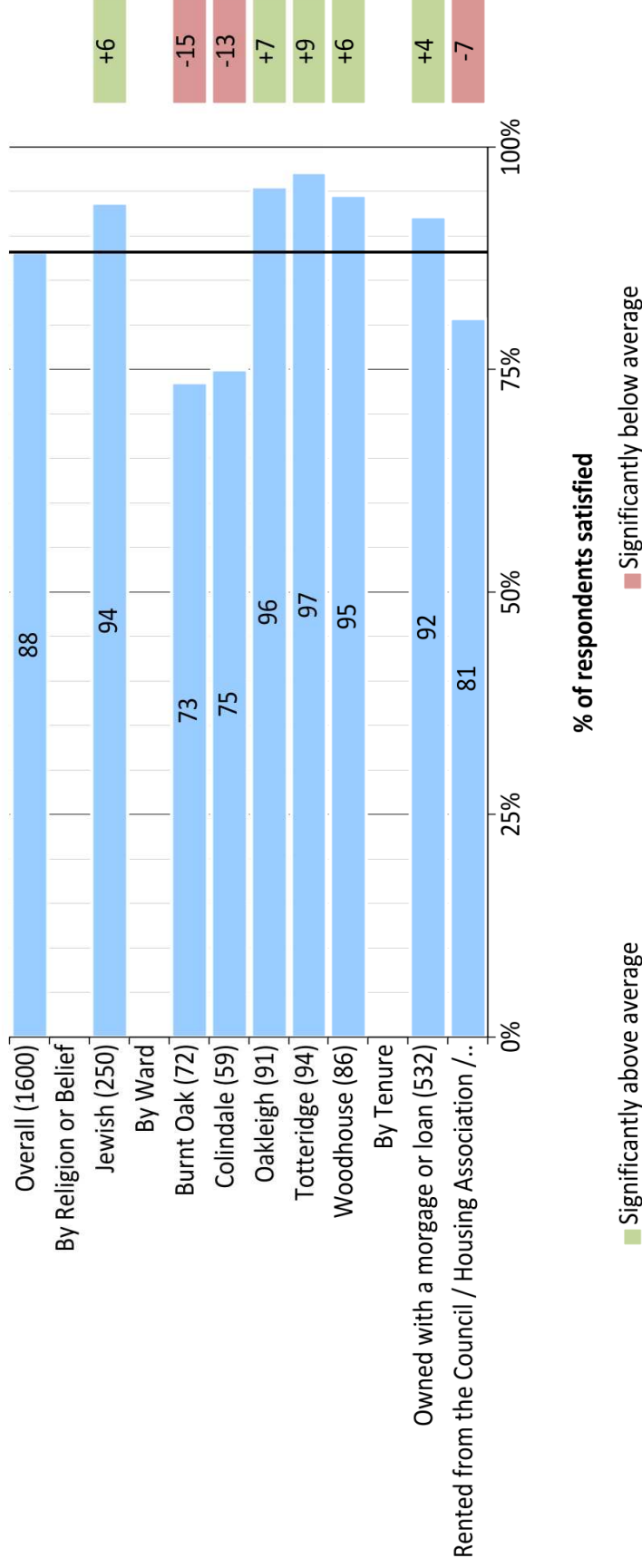
**Appendix 2 (ii)**

<p><b>Insight Engine</b></p>	<p>Positive Capita Symonds will provide an Insight capability and system to record and analyse customer engagement, making services more accessible and enabling users to contribute ideas for the redesign of service provision Improvements by Capita Symonds to customer engagement methods will help Strategic Planning reach a wider audience, including groups with protected characteristics, in shaping service delivery. This proposal will impact on all groups with protected characteristics.</p>	<p>Medium</p>	<p>Medium</p>	<p>Develop Stakeholder Management Plan to ensure range of customer and stakeholder groups reflects diversity profile of customers.</p>	<p>Capita Symonds</p>	<p>Within 12 months and ongoing.</p>
<p><b>Customer Profiling</b></p>	<p>Positive Capita Symonds will develop a Stakeholder Management Plan to identify key stakeholders for Strategic Planning and evaluate their importance in terms of service delivery and current relationship Improvements by Capita Symonds to identifying and analysing key stakeholders will help Strategic Planning to shape service delivery to the needs of its customers as prioritised. This proposal will impact on all groups with protected characteristics.</p>	<p>Medium</p>	<p>Medium</p>	<p>Develop Stakeholder Management Plan and ensure that it reflects the diversity profile of customers.</p>	<p>Capita Symonds</p>	<p>Within 12 months and ongoing.</p>

### 3. The experience of customers from groups with protected characteristics Current situation

As the Strategic Planning service is focused on Barnet as a place, the experience of customers is best reflected through the residents' survey.

The resident's survey 2012 showed that 88% of residents are satisfied with Barnet as a place to live, an improvement of 2% from the 2010/11 survey. Whilst there were no significant differences in satisfaction between different ethnic groups, residents living in Colindale or Burnt Oak, renting from the council or a housing association, are significantly less likely to be satisfied with their local area. The following table shows where there were significant variances in satisfaction:





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The service also plays a role in managing the council's relationship with Barnet Homes, the council's ALMO, and satisfaction levels of council tenants by ethnicity are presented in the table below.

Major Ethnic Group (Alphabetical)	Very Satisfied	Fairly Satisfied	Neither Satisfied nor Dissatisfied	Fairly Dissatisfied	Very Dissatisfied	Total	% Known Ethnicity satisfied	% Known Ethnicity Neither	% Known Ethnicity Dissatisfied
Asian or Asian British	46	84	19	8	6	163	79.8%	11.7%	8.6%
Black or Black British	63	143	28	13	11	258	79.8%	10.9%	9.3%
Mixed	11	16	5	2	0	34	79.4%	14.7%	5.9%
White	236	382	88	44	39	789	78.3%	11.2%	10.5%
Other	59	107	36	11	11	224	74.1%	16.1%	9.8%
Prefer Not to Say	70	116	20	10	6	222	83.8%	9.0%	7.2%
Unknown/ Anon	58	97	32	15	16	218	71.1%	14.7%	14.2%
<b>Grand Total</b>	<b>543</b>	<b>945</b>	<b>228</b>	<b>103</b>	<b>89</b>	<b>1908</b>	<b>78.0%</b>	<b>11.9%</b>	<b>10.1%</b>

Generally similar levels of satisfaction amongst different ethnic groups

### Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Access Strategy</b>	Positive Statement of Community Involvement (SCI). Capita Symonds will review the SCI to create an accessible planning document that includes suitable	Medium	Medium	Need to identify 'hard to reach' groups amongst those with protected characteristics	Capita Symonds	Within 12 months and ongoing.

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	<p>techniques to address concerns of 'hard to reach' groups of residents and businesses</p> <p>Improvements by Capita Symonds to community engagement methods will help Strategic Planning reach a wider audience of residents and businesses, including groups with protected characteristics.</p> <p>This proposal will impact on all groups with protected characteristics.</p>			<p>setting out how these can be reached through specific measures.</p>		
<p><b>Access Strategy: Customer Enabling ICT</b></p>	<p>Positive</p> <p>Capita Symonds' commitment to enhanced on-line information and providing an on-line mechanism for engagement and reporting breaches</p> <p>Capita Symonds will also encourage on-line self-service, but direct access to officers will still be retained for those who prefer, together with an extended Duty Officer service.</p> <p>Capita Symonds commits to provide (retain) a choice of access channels allowing the most convenient access for customers</p> <p>These services will enhance the on-line planning service and improve the possibility of 'self-help' functionality, ensuring an improved overall customer experience by enabling them to control their access to it. This will positively</p>	<p>High</p>	<p>Medium</p>	<p>Ensure that market analysis is conducted regularly and that the service further tailors its customer engagement approach accordingly.</p> <p>Ensure an equality of information is available through all mediums and support is present at Planning Reception to assist.</p>	<p>Capita Symonds</p>	<p>Within 12 months and ongoing.</p>

	<p>affect all groups under the protected characteristics, but it will likely result in a negative impact on those who are not IT or English literate, most notably amongst the Age or Race groups.</p>					
<p><b>Customer Satisfaction</b></p>	<p>Positive                  Capita Symonds will be committed to addressing customer satisfaction across Strategic Planning service comparing profile of users to Barnet demographic profile. Capita Symonds will create and implement service plans to address deviations from Barnet profile. Capita Symonds will create social media user groups to help review service delivery).                  Improvements by Capita Symonds to measuring customer satisfaction will help Strategic Planning service delivery reach a wider audience of residents and businesses, including groups with protected characteristics.                  This proposal will impact on all groups with protected characteristics.</p>	<p>Medium</p>	<p>Medium</p>	<p>Need to ensure that service plan also addresses groups with protected characteristics and that reliance on social media to gauge customer feedback does not exclude non users such as older people from providing customer feedback. Other accessible channels for groups with protected characteristics to provide feedback need to be identified.</p>	<p>Capita Symonds</p>	<p>Within 12 months and ongoing.</p>

**4. The existing arrangements for monitoring and promoting equality and diversity**

**Current situation**

The team currently conduct the following:

- Regular consultations include actions to reach all parts of community through for example using different formats (e.g. estate event days, web surveys, citizen panel and focus groups).

## Appendix 2 (ii)

- Equalities impact assessments are in place for our key strategies and policies, including housing strategy, LDF Core Strategy, housing allocations scheme, tenancy strategy.
  - Planning applications have to confirm that proposals do not conflict with either Barnet Council's Equalities Policy or the commitments set in the Equality Scheme and support the council in meeting its statutory equality responsibilities.
- In the future, there would also be value in keeping up-to-date information on the housing needs of different groups as the housing needs survey is out of date and the council no longer has an open housing register.

### Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Regular consultations</b>	<p>Positive</p> <p>Capita Symonds commits to conduct regular surveys of Strategic Planning service users</p> <p>Improvements by Capita Symonds to analysing customer feedback will help Strategic Planning to shape service delivery to the needs of its customers.</p> <p>Negative</p> <p>Consultations may not reach some groups</p> <p>This proposal will impact on all groups with protected characteristics.</p>	Medium	Medium	<p>Surveys must collect equalities information to measure performance across all customer types</p> <p>Implement specific plans to address any significant or trending deviations from baseline data. Test any new service designs with representative customer groups.</p>	Capita Symonds	Within year one.

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<p><b>Regular consultations</b></p>	<p>Positive Capita Symonds commit to review SCI to set out who should be involved in planning consultations, when, and for what purposes as well as considering range of approaches and methods that might be appropriate. Capita Symonds commits to engage with NSCSO to explore direct links to different groups of stakeholders  Improvements by Capita Symonds to community engagement methods will help Strategic Planning reach a wider audience of residents and businesses, including groups with protected characteristics.  This proposal will impact on all groups with protected characteristics.</p>	<p>Medium</p>	<p>Medium</p>	<p>Regularly review the SCI to ensure that it targets the relevant audience and to ensure multiple channels for regular communication outside the formal consultation process.</p>	<p>Capita Symonds</p>	<p>Within year one.</p>
<p><b>EIA</b></p>	<p>Neutral Customer Service &amp; Engagement Capita Symonds makes no specific reference to EIAs but will be required to comply with the PSED and fully supports the council's commitment to equality</p>	<p>Low</p>	<p>Low</p>	<p>Need to ensure that Capita Symonds undertakes EIAs as appropriate to consider impacts of service redesign or policy proposal made to the council.</p>	<p>Capita Symonds</p>	<p>Within year one.</p>
<p><b>Planning Applications</b></p>	<p>Neutral Planning applications not specifically referenced but Capita Symonds has committed to compliance with existing practices and the PSED.</p>	<p>Low</p>	<p>Low</p>	<p>The council will ensure that Capita Symonds has a robust and consistent monitoring system in place to monitor</p>	<p>Capita Symonds</p>	<p>Within year one.</p>

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<b>Housing Needs</b>	<p>Neutral</p> <p>Capita Symonds makes no specific references to assessing housing needs but will establish Barnet Observatory within SPR to provide forward looking intelligence service to inform housing policy.</p> <p>This will help to ensure that the most up to date customer feedback and information is utilised to inform housing policy.</p>	<p>Low</p>	<p>Low</p>	<p>Low</p>	<p>planning applications against the PSED.</p> <p>Capita Symonds to establish Barnet Observatory and ensure a clear remit for it.</p>	<p>Capita Symonds</p>	<p>Within year one.</p>
<b>Housing Needs</b>	<p>Positive</p> <p>Capita Symonds will combine information from planning, building control, public health and other sources to identify hot spots in private sector housing where there are high concentrations of single elderly occupiers requiring targeted support</p> <p>This will help to ensure elderly single occupiers receive targeted support.</p> <p>This proposal will impact on the elderly.</p>	<p>Medium</p>	<p>Medium</p>	<p>Medium</p>	<p>Need to ensure that Capita Symonds sets out in Service Plan how support will be targeted at reducing vulnerability of single elderly occupiers.</p>	<p>Capita Symonds and Barnet Homes</p>	<p>Within year one.</p>
<b>Benchmarking</b>	<p>Positive</p> <p>There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future</p>	<p>High</p>	<p>High</p>	<p>Medium</p>	<p>Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in</p>	<p>Council</p>	<p>Within 3 months and on-going thereafter.</p>



service provision	service provision	service provision and customer perception.	Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.
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**5. Existing known equalities issues in the service**

**Current situation**

The Strategic Planning service has completed EIAs in relation to changes to the council’s housing policies and identified issues as summarised below

**Tenancy Strategy EIA** (April 2012) the following have been identified as issues:

- Young people who are care leavers may be less likely able to fulfil the requirements for tenancies to be renewed. This may put them at a more serious disadvantage than any other young person. Different criteria have been developed for care leavers to help mitigate.
- Income and Capital thresholds could disadvantage some tenants.
- Failure of communication with those tenants on flexible tenancies regarding expectations and timetables particularly where residents have poor literacy or where English is not their first language. Barnet Homes has developed a communications strategy, including information on the website.
- Failure to maximise use of social housing through planned use of flexible tenancies would be likely to disadvantage all applicants. Making better use of social housing stock will advantage those on low incomes and benefits.

**Housing Allocations Scheme EIA** (February 2012), it was identified that some groups may be adversely affected by the introduction of the criteria covering connections with Barnet. The initial data analysis shows from the current bands that some groups are more likely to fail the local connection criteria and not be considered for assistance under the allocations scheme. These equalities risks are being monitored and mitigating actions being developed.

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The council's Housing Strategy will require the completion of an EIA each time that it is renewed.

The policies in the Core Strategy EIA (2011) seek to ensure that all new homes are built to Lifetime Homes Standards and that through extending the inclusive design principles embedded in Lifetime Homes we can create Lifetime Neighbourhoods that are welcoming, accessible, and inviting for everyone, regardless of age, health or disability.

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
Tenancy Strategy	<p>Positive</p> <p>Capita Symonds makes no specific references to assessing implementation by Barnet Homes of Tenancy Strategy but will establish Barnet Observatory within SPR to provide forward looking intelligence service to inform housing policy</p> <p>This will help to ensure that the most up to date customer feedback and information is utilised to the Tenancy Strategy.</p> <p>This proposal will impact on all groups (residents, businesses and customers) with protected characteristics.</p>	Low	Low	<p>Establish Barnet Observatory and ensure it has a clear remit.</p> <p>Housing Policy staff to carry out reviews of the implementation of Tenancy Strategy by Barnet Homes and its impact on highlighted sub-groups.</p>	Capita Symonds	Within year one.
Lifetime Homes	<p>Neutral</p> <p>Capita Symonds will enforce the use of Lifetimes Homes Standards. This should mean that all new homes delivered will be suitable for elderly, infirm and disabled people to remain in their own homes for</p>	Low	High	Capita Symonds will rigorously enforce planning conditions and share good practice on Lifetime Homes.	Capita Symonds	From day one and then continuously.



<p>Housing Allocations Scheme</p>	<p>longer. Failure to create inclusive neighbourhoods could impact on the elderly. Capita Symonds also recognises negative issues of concentrating elderly people in one area.</p> <p>This should ensure that the quality of life for elderly people is improved. Lifetime Homes is a common standard that is obligatory in all new developments in London and Barnet.</p>	<p>Medium</p>	<p>Medium</p>	<p>Regularly conduct customer engagement to help inform the Allocation Scheme.</p> <p>Need to monitor implementation of Allocations Scheme by Barnet Homes and its impact on highlighted sub-groups.</p>	<p>Capita Symonds</p>	<p>Annually.</p>
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## Equalities Impact Assessment of Capita Symonds’ Final Tender on Highways Network Management

### 1. Introduction Current Situation

Led by a Highways Network Manager, the service is currently comprised of the following two teams: Network Management and the Implementation Team.

The Network Management team is responsible for the management of the highway network in relation to works carried out by the council and utility companies. These functions are managed via the New Roads & Street Works Act (NRSWA) legislation which sets out the

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requirements for advance notification of works, monitoring and inspection, and allows for co-ordination so as to minimise the impact of the works on the road network and hence minimise as far as possible disruption for road users.

The team also manage the issuing of licenses to allow various operations to take place on the highway network including the placing of skips, scaffolding, hoardings, and builders' materials.

Network management also includes the cyclic inspection of the highway network in order to identify the general condition, and in particular, identify and deal with any safety hazards on the highway network thereby maintaining the network in a safe condition for highway users, whilst at the same time reducing insurance liabilities.

Network management also manages the Drainage Service which includes ensuring that the highway drainage network is operating efficiently. In order to achieve this, a cyclic gully cleaning programme is implemented annually, where defects and identified improvements in relation to the drainage network are instigated in accordance with available budgets. All actions serve to minimise the risk of flooding of the highway network and the potential dangers this may cause to neighbouring properties.

The Implementation Team manages the various term contracts which are in place to allow new and maintenance works to be implemented throughout the borough. The works include maintenance of the carriageway and footway network. This ensures that the highway assets are maintained such that the condition and operation of the network is at maximum efficiency, thereby ensuring the safety of road network users.

The implementation team are also responsible for implementing highway network improvement schemes which ensures that the network is fit for purpose and serves the local community in an appropriate fashion.

The end users of the Highways Network Management service are Barnet residents, and those working or travelling in the borough. Therefore, the most relevant data set is the borough-wide demographic data.

### Summary of the Final Tender

Capita Symonds' key commitments are as follows:

- Capita Symonds commits to delivery of all requirements contained within the output specifications with some proposed enhancements focussed on:
  - o Investment in ICT and enabling software and processes to enhance service delivery.
  - o Undertaking stakeholder engagement to understand how to provide improved access to services and raise satisfaction levels.
- Capita Symonds has committed to complying with the council's Equalities Policy and equalities legislation.

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It is considered that the groups with protected characteristics under equalities legislation, including age, disability, gender reassignment, marital status, pregnancy and maternity (including teenage parents), race, religion or belief, sex and sexual orientation are all unlikely to be negatively affected by the Capita Symonds' proposals, and it is likely that there will be positive outcomes for these groups in time.

### **2. The diversity profile of the service's customers (people from groups with protected characteristics)**

#### **Current situation**

A diversity profile of external customers has not been gathered and analysed routinely by the team due to the lack of resources. The function of the service is close to universal so for the purposes of day-to-day decision making it assumes its customer composition, including the representation of groups with protected characteristics, reflects that of the borough as a whole (covered in the introduction to this document).

Changes relating to customer information

Single Customer View	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
	<p>Positive</p> <p>Capita Symonds will invest in ICT, Exor, GIS and real time data, and web-enablement to allow enhanced engagement methods through increased potential for self-service, increased contact, methodology choice and information exchange (Service SIDP).</p> <p>This will help to ensure that IT enabled customers will be able to access the service more efficiently.</p> <p>This will positively impact on all groups with protected characteristics who are IT enabled.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	High	High	<p>Client Team to monitor and ensure linkage with NSCSO by establishment of a service level agreement that will ensure Capita Symond's commitments can be fulfilled.</p> <p>For residents and customers with protected characteristics, engagement will need to be available through other channels, such as by telephone.</p>	Council	Within 3 months of commencement and on-going thereafter.

**Appendix 2 (ii)**

<p>Positive</p> <p>Capita Symonds will implement a new customer access strategy – a new relationship with customers to improve interaction between DRS and NSCSO to provide a seamless customer service with increased first point of contact resolution.</p> <p>This will help to ensure that IT enabled customers will be able to access the service more efficiently.</p> <p>This will positively impact on all groups including those with protected characteristics assuming that the customer engagement outcomes inform the access strategy.</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor and ensure full engagement with all existing and potential future service users including those with protected characteristics through linkage with NSCSO by establishment of a service level agreement that will ensure Capita Symonds' commitments can be fulfilled.</p>	<p>Council</p>	<p>Within 6 months of commencement and ongoing thereafter.</p>
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**Appendix 2 (ii)**

<p><b>Customer Profiling</b></p>	<p>Positive</p> <p>Capita Symonds will utilise a life events based customer contact management to enable groups of related services likely to be required by a type of customer associated with a type of event to be delivered through a single point of contact enabling end to end support for all of those needs for key groupings in line with customer access strategy.</p> <p>Through the engagement strategy it is expected that those groups who have regular need to interact with different delivery units experience a managed and coordinated experience.</p> <p>This will positively impact on all groups including those with protected characteristics who have this need.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	<p>High</p>	<p>High</p>	<p>Client Team to ensure that desired outcomes are monitored ensuring those with multiple and/or specific needs are catered for.</p> <p>For residents and customers with protected characteristics, information relating to their case will need to be available through other channels, such as by telephone.</p>	<p>Council</p>	<p>Within 3 months of commencement and on-going thereafter.</p>
	<p>Positive</p> <p>Capita Symonds will develop a Stakeholder Management Plan (SMP) which will involve a comprehensive review of all Barnet Stakeholders to</p>	<p>High</p>	<p>Medium</p>	<p>Client Team to monitor and to ensure all sections of the community including those with protected</p>	<p>Council</p>	<p>Within 6 months of commencement and on-going</p>

**Appendix 2 (ii)**

	<p>identify their specific needs for service and communications, including stakeholder mapping.</p> <p>This will help to ensure that better customer feedback will inform improvements in service delivery.</p> <p>This will positively impact on all groups including those with protected characteristics who have this need.</p> <p>Positive</p> <p>Capita Symonds will categorise stakeholders into eight groups to identify most appropriate engagement methods for each group thus ensuring all needs catered for.</p> <p>This will help to ensure that customers are provided with the most appropriate services as possible.</p> <p>This will positively impact on all groups including those with protected characteristics provided that those with protected characteristics are captured within the most appropriate groupings.</p> <p>Positive</p> <p>Capita Symonds will implement an Insight Function which is proposed to be delivered to analyse monitor and report on equalities data in partnership with</p>	<p>High</p>	<p>High</p>	<p>characteristics are captured within the proposals contained within the Stakeholder Management Plan.</p> <p>Client Team to monitor delivery and ensure proposed grouping are appropriate for those with protected characteristics and that intelligence gathered informs Service Development Plans and funding priorities.</p> <p>Client Team to ensure that intelligence gathered is used to inform service improvements and that</p>	<p>Council</p> <p>Council</p>	<p>thereafter.</p> <p>On commencement and on-going thereafter.</p> <p>Within 12 months of commencement and on-going</p>
	<p>identify their specific needs for service and communications, including stakeholder mapping.</p> <p>This will help to ensure that better customer feedback will inform improvements in service delivery.</p> <p>This will positively impact on all groups including those with protected characteristics who have this need.</p> <p>Positive</p> <p>Capita Symonds will categorise stakeholders into eight groups to identify most appropriate engagement methods for each group thus ensuring all needs catered for.</p> <p>This will help to ensure that customers are provided with the most appropriate services as possible.</p> <p>This will positively impact on all groups including those with protected characteristics provided that those with protected characteristics are captured within the most appropriate groupings.</p> <p>Positive</p> <p>Capita Symonds will implement an Insight Function which is proposed to be delivered to analyse monitor and report on equalities data in partnership with</p>	<p>High</p>	<p>High</p>	<p>characteristics are captured within the proposals contained within the Stakeholder Management Plan.</p> <p>Client Team to monitor delivery and ensure proposed grouping are appropriate for those with protected characteristics and that intelligence gathered informs Service Development Plans and funding priorities.</p> <p>Client Team to ensure that intelligence gathered is used to inform service improvements and that</p>	<p>Council</p> <p>Council</p>	<p>thereafter.</p> <p>On commencement and on-going thereafter.</p> <p>Within 12 months of commencement and on-going</p>

	<p>Middlesex University that will proactively monitor the demographic profile. The analysis will result in knowledge of customer reporting methodology, demographics of reporting and injury claim analysis to identify profile of claimants.</p> <p>This will positively impact on all groups including those with protected characteristics by utilising data gathered to improve services provide.</p>			<p>desired outcomes are monitored to ensure there are positive benefits for all.</p> <p>Data will need to be proactively gathered to ensure that all members of the community and their particular needs are profiled.</p>	thereafter.
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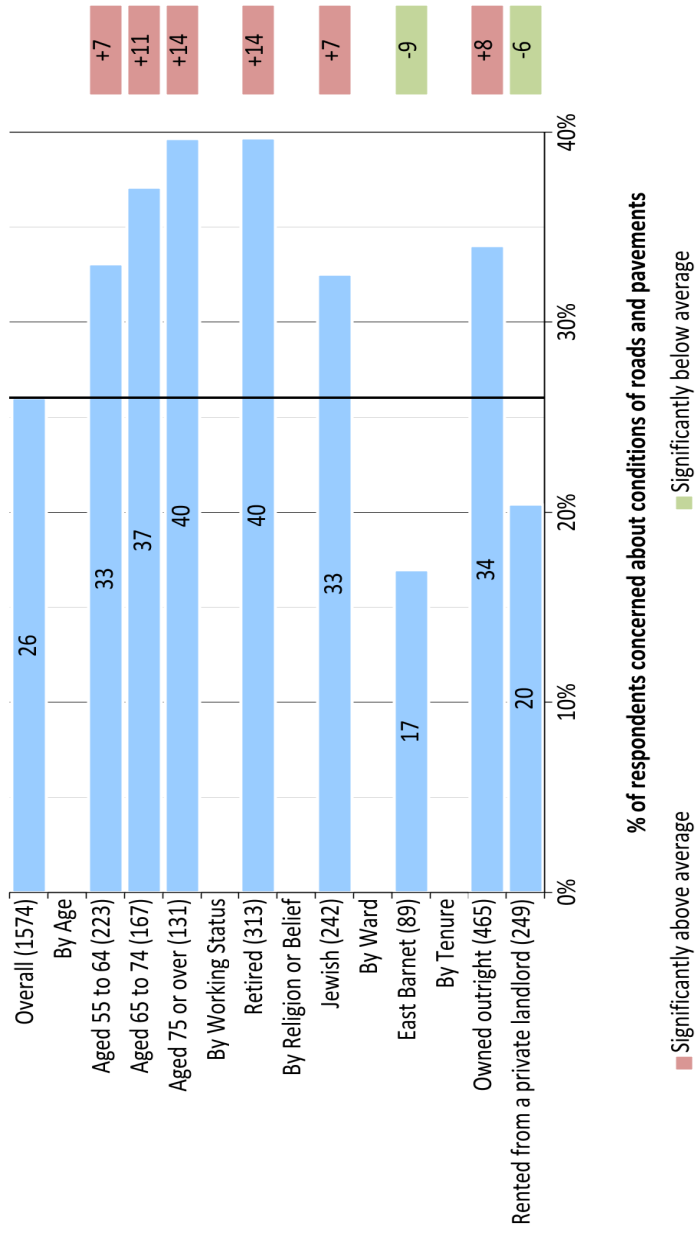
**3. The experience of customers from groups with protected characteristics**

**Current situation**

Based on the 2012 Resident’s Perception Survey, the condition of Roads and Pavements was the second issue that concerns residents in Barnet. As shown in the table below, residents who are aged over 55, retired, Jewish and own their home outright are significantly more likely to be concerned about roads and pavements. Residents living in East Barnet, renting from a private landlord are significantly less likely to be concerned about roads and pavements. There were no significant differences between ethnic groups.



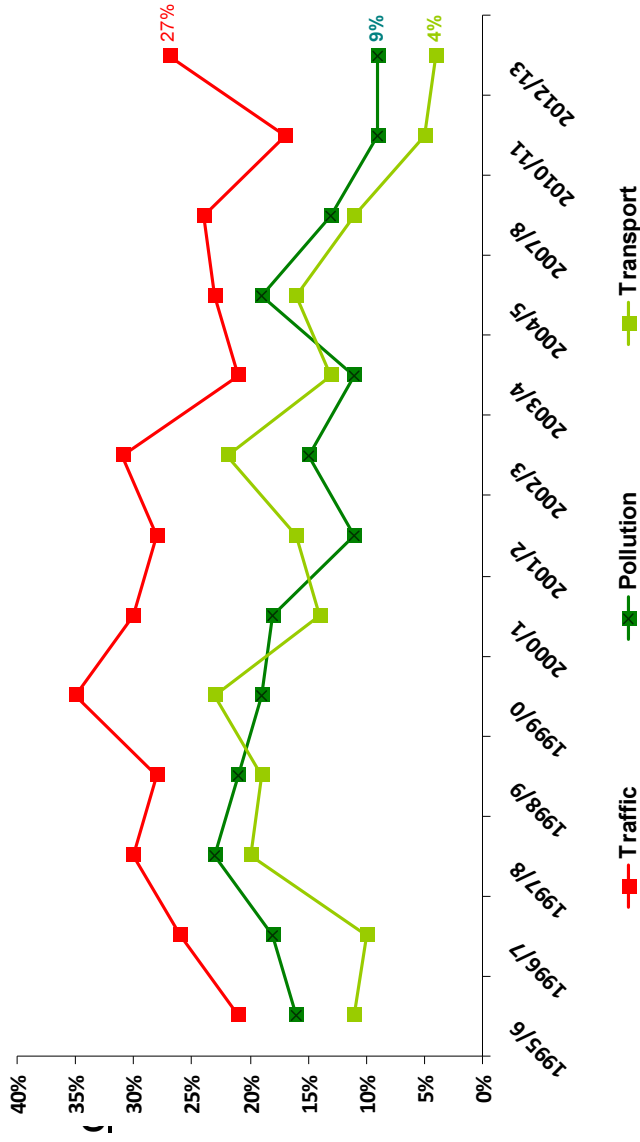
## Appendix 2 (ii)



Personal concern for traffic, pollution and transport have all declined since 2004/05. Traffic in Barnet has been the largest cause for concern since 1995/96. In 2010/11 nearly twice as many residents were concerned about traffic than pollution, and over three times as many were concerned about transport.

Concern for traffic congestion has seen a sharp increase in concern whilst pollution and public transport continues to be much less of a concern. Residents living in Mill Hill or who are Jewish are significantly more likely to be concerned about traffic congestion. The overall trends for concern about traffic congestion, pollution and transport are shown in the chart below:

Appendix 2 (ii)



Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
Access Strategy	Positive Capita Symonds intends to enhance service provision and options for engagement/request for these services including improved information exchange which will avoid the need in some instances for requests for	High	High	Client Team to monitor delivery and ensure enhanced service provision benefits all service users equally by provision of a full range of contact and	Council	Within 3 months of commencement and on-going thereafter.

	<p>service. Where contact is made or is necessary the engagement is proposed to be enhanced and inclusive and hence will benefit customers through an improved service. This will positively impact on all groups with protected characteristics in particular who are IT enabled.</p>			<p>information exchange methodologies.</p>		
<p><b>Customer Satisfaction</b></p>	<p>Positive Capita Symonds commit to a Super KPI for monitoring customer satisfaction levels with a view to improving incremental improvements on customer satisfaction rates. This will help to ensure a greater focus on achieving increased customer satisfaction levels. This will positively impact on all groups with protected characteristics There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor and ensure that questions are tailored to be service relevant and user group specific to ensure the views of those with protected characteristics are gathered to ensure all needs and experiences are acknowledged and improvements made accordingly; and that feedback received is analysed and positive changes are instigated as appropriate including via Service Delivery Plans. Ensure that service provision for non-IT</p>	<p>Council</p>	<p>On commencement and monthly thereafter and yearly via (SiDPs).</p>

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	<p>Neutral</p> <p>Capita Symonds commits to achieving improvements which result in 70%+ of users reporting (via surveys) that the changes implemented have been successful in making services more directly relevant to their needs.</p> <p>Although the proposed satisfaction rates would be a positive this does not allow for the other 30% dissatisfaction which could typically have a disproportionate rate of satisfaction / dissatisfaction of those with protected characteristics. Therefore the proposed measure does not indicate acknowledgement of the need to ensure this group is positively engaged. This will impact on all service users including those with protected</p>	High	High	<p>literate customers is improved e.g. comprehensive call handling and outreach work, and alternative opportunities to self-service developed, development of user groups, availability of comprehensive literature, use of community champions.</p> <p>Client Team to monitor that fully inclusive surveys are conducted and the outcomes lead to positive changes for all, including those with protected characteristics.</p>	Council	<p>Within 24 months of commencement and annually thereafter.</p>
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**Appendix 2 (ii)**

<p><b>Key Areas From Baseline</b></p>	<p>characteristics. This will have a neutral impact as the Council does not do this currently.</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor that all inclusive and appropriately tailored surveys are conducted and the outcomes lead to positive changes for all.</p>	<p>Council</p>	<p>Within 12 months of commencement and annually thereafter.</p>
<p>Positive Capita Symonds' focus on understanding the baseline customer feedback is dependent on the Residents' Perception Survey responses which are currently not sufficient in depth to fully evaluate service users' opinions and their concerns to action appropriately. This will positively impact on all groups with protected characteristics as the proposals, in being formulated to be output and service relevant, will provide greater intelligence on particular service users' needs and concerns, including understanding of why certain locations, religious groups or ages have particular concerns enabling a tailored response to the community. This will impact on all groups with protected characteristics.</p>						

#### 4. The existing arrangements for monitoring and promoting equality and diversity

##### Current situation

The team strives to promote equality through the following means:

- Analysis and response to findings of surveys such as The Residents' Perception Survey (RPS). In 2011, the team along with each directorate was required to produce a response and action plan based on the RPS findings.
- Carrying out an EIA is a requirement for any budget, project, policy or service change within the directorate. EIAs test the impact of such changes on the protected characteristics. Support and monitoring of this activity is facilitated by the Strategy and Performance function.
- Regular reviews and analysis of complaints logged in CRM to identify Equalities related issues that need to be addressed.
- Events with specific communities when and where relevant to discuss issues such as Controlled Parking Zone proposals. Note that Controlled Parking Zones cover disabled parking bays.
- Subscription to external survey monitoring such as the National Highways and Public Transport Satisfaction Survey with results localised to borough level.

##### Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Residents Perception</b>	Positive Capita Symonds' proposal on utilising super KPIs will collectively supersede and improve on the current methodology of data gathering. The introduction of SKPI No. 5 is intended to improve customer perception in relation to service improvements.	High	High	Client Team to monitor that the surveys are conducted, are inclusive and the outcomes lead to positive changes.	Council	On commencement and monthly thereafter.

**Appendix 2 (ii)**

	This will positively impact on all groups with protected characteristics.	High	High	High		Client Team to monitor and ensure any service redesigns will proactively lead to positive impact.	Council	On commencement and on-going.
<b>EIA</b>	Neutral The proposals of Capita Symonds' indicate compliance with the council's EIA requirements.	High	High	High		Client Team to monitor and delivery will lead to positive impact.	Council	Within 9 months and annually thereafter.
<b>Complaints</b>	Positive Capita Symonds' proposed insight function is designed to analyse and advise on requirements for action which will inform service development plans to result in greater degree of satisfaction.	High	High	High		Client Team to monitor its implementation and performance of the output specification requirements.	Council	On commencement subject to agreed work programme and on-going
<b>Event Specific</b>	Neutral Capita Symonds has committed to the delivery of output specifications which allows for consultation which is determined through agreement with the council as part of its agreed work programme. The recommendations that ensue from any such engagement will automatically include demographic analysis. The impact is neutral as the council already delivers the requirements of the output specifications.	Medium	Medium	Medium		Client team and Capita Symonds will review the results of benchmarking	Council	Within 3 months and on-going thereafter.
<b>Benchmarking</b>	Positive There are proposals for benchmarking with comparable organisations and available benchmarking information to	High	High	Medium				

	compare and inform current and future service provision			exercises to inform improvements in service provision and customer perception.  Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.	
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**5. Existing known equalities issues in the service**

**Current situation**

**Two initial issues were identified as follows:**

- A specific programme of regular engagement and interaction with the customer base for feedback was designed but has yet to be implemented. This would provide that essential intelligence required shaping and delivering services in a responsive manner to different sections of the community.
- Staff residents’ panel set up by the Strategy and Performance function aimed at tapping into local community issues and perceptions of the service via staff resident in the borough. This could be restarted and used to ensure intelligence is utilised to improve our service and respond to customers.

**Subsequent issues identified and requested to be highlighted include examples such as:**

- Tactile paving – By catering for a particular sector of the protected group (visually impaired) through facilitating improved road safety and pedestrian experience, the measures have been highlighted to be of inconvenience and concern to other groups (i.e. elderly, physically impaired).
- Poorly maintained pedestrian provision – Due to limited resource being available to sustain the entire borough’s pedestrian network to a preferred standard and to ensure safety, and/or failure to respond to service requests or identified defects within appropriate timescales, leading to increased levels of complaints and claims for personal injury.



## Appendix 2 (ii)

- Potholes – Poorly maintained road network. Due to limited resource being available to sustain all of the borough’s road network to a preferred standard and to ensure safety, and/or failure to respond to service requests or identified defects within appropriate timescales leading to increased levels of complaints and claims for material damage and personal injury.
- Customer Perception Surveys – Recent surveys show that residents’ perception of roads and pavements are one of their highest concerns. However, the structure of generic questions in the survey does not allow analysis and to understand the specific reasons for the views.

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Customer Satisfaction and service specific engagement</b>	<p>Positive</p> <p>The directorate’s proposal to capture services users’ opinions and needs of specific delivery units was not implemented as intended but is captured within Capita Symonds’ proposal.</p> <p>If Capita Symonds acts to gather customer feedback then this will positively impact on all groups with protected characteristic by better understanding their needs and wants.</p>	High	High	Client team to monitor and participate in formulating appropriate all inclusive engagement strategy.	Council	Within 6 months and on-going thereafter.
<b>Additional highlighted issues</b>	<p>Negative</p> <p>Capita Symonds’ proposed service enhancements assume that improvements can be achieved with the introduction of customer-focused measures through redesign of services but do not adequately allow for</p>	High	High	Client Team to monitor and ensure service design and provision of those services takes into account unintended consequences through robust application of EIA procedures when	Council	On commencement and on-going.

	<p>subsequent negative impact on other service users. This may lead to some customers, particularly among those with protected characteristics, not being able to receive proper services.</p> <p>Neutral</p> <p>Capita Symonds' proposals indicate an assumption that there will be adequate budget available to deliver improvements in service. Due to limited resource this is not the case. However the impact is neutral as the Council already has a limited resource for these works.</p>	High	High	<p>agreeing delivery of service measures.</p> <p>Client Team to work to obtain maximum budget allocation to be able to deliver a maximum output and to keep Capita Symonds fully appraised of the available budget and priorities.</p>	Council	<p>On commencement and on-going.</p>
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## Equalities Impact Assessment of Capita Symonds' Final Tender on Trading Standards and Licensing

### 1. Introduction

#### Current Situation

Barnet's Trading Standards team focus investigation resources on criminal rather than civil cases. Inspections are limited to the highest risk businesses. Preventative activity is limited.

The key functions are as follows:

#### Trading Standards

- Age-related sales inspections and complaints.
- Consumer credit inspections and complaints.
- Leading on, and co-ordinating of, Consumer Support Network.

- Counterfeit and pornographic sales, inspections and complaints.
  - Home Authority and Business Support.
  - Licensing and registrations.
  - Maintenance of Metrology Standards.
  - Pricing inspections and complaints.
  - Product safety inspections and complaints.
  - Trade descriptions inspections and complaints.
  - Trading standards inspection and enforcement.
- Licensing
- Processing premises and personal licence applications.
  - Processing temporary event notices.
  - Processing representations and requests for review of premises licences.
  - Checking and enforcing compliance with licence conditions.
  - Processing gambling premises licenses and permits.
  - Co-ordination of responsible authorities.
  - Investigating complaints about licensed premises and activities.
  - Dealing with businesses operating without a required licence.
  - Taking the lead in drafting licensing policy.
  - Co-ordinating safety at sports grounds.

### **Summary of the Final Tender**

Capita Symonds' solution to carry out work currently undertaken by the council's in-house Trading Standards & Licensing team will include the following commitments that are directly related to Equalities duties and responsibilities:

- A comprehensive improvement in IT for staff. This will enable staff to process service requests more quickly, update cases on site and to collate more detailed data relating to the type of service requests and the service users. This data will be used to ensure that the service provided meets customers' needs and the demographic make-up of the borough.
- Services tailored to meet customer needs and priorities through analysis of data provided via a single and comprehensive view of customers from DRS and NSCSO information, which will be shared securely.
- Customer satisfaction measurement surveys, which will capture demographic information from respondents for comparison with the Barnet profile, which will then inform actions to improve service delivery.

## Appendix 2 (ii)

- Promote change in the method of accessing the service from non IT to web-based services (channel shift).
- Provision of a dedicated team of staff (Insight Team), to monitor the change in service usage and trends in Barnet's demographic make-up. This will include the extent to which service delivery and access to services reflects population growth and increasing diversity. They will ensure equality and diversity data informs ongoing service improvements.
- Compliance with the council's Equal Opportunities Policy.
- Training for all staff in customer care and awareness of equalities and diversity issues.
- Creation of a dedicated DRS Customer Service Team, which will be trained to understand and respond effectively to equalities and diversity issues.
- A flexible service delivery model which will cater for anticipated increases in diversity and the growing population of Barnet. This means that staff could be transferred from one area of EH or Trading Standards & Licensing to another area, depending on the specific needs, or a specific concern (e.g. if there is food poisoning outbreak).
- The proposal indicates that annual reports of service usage and demographic profiling will be conducted at ward level which will be made available to members.
- Capita Symonds will join and participate in local Chamber of Commerce and other local societies and organisations as appropriate and will create user groups utilising social media

A summary of the impact on groups with protected characteristics outlined within the Equalities legislation is presented below:

Capita Symonds will ensure equality and diversity monitoring will inform ongoing service improvements. This will impact all groups equally.

- Age – There is unlikely to be any impact.
- Disability – There is unlikely to be any impact.
- Gender reassignment – There is unlikely to be any impact.
- Marital status – There is unlikely to be any impact.
- Pregnancy and maternity (including teenage parents) – There is unlikely to be any impact
- Race – There is unlikely to be any impact.

- Religion or belief – There is unlikely to be any impact.
- Sex – There is unlikely to be any impact.
- Sexual orientation – There is unlikely to be any impact.

## 2. The diversity profile of the service's customers (people from groups with protected characteristics)

### Current situation

The end users of the Trading Standards and Licensing services are Barnet residents, and those working or spending time using facilities in the borough. Therefore, the most relevant data set is the borough-wide demographic data. The function of the service is close to universal so for the purposes of day-to-day decision making it assumes its customer composition, including the representation of groups with protected characteristics, reflects that of the borough as a whole (covered in the introduction to this document). A diversity profile of external customers has not been gathered routinely by the service.

However, in 2009 the service conducted a small survey (sent out 100 surveys and received 16 back). Although this is likely not to be an accurate representation of their customers, the findings suggested that over 60% of their customers were between 35-54 years old, and only 18% were female. A quarter was non-white with Indians and Sri Lankans making up almost 20%. Almost half were Christians, while 25% were Jewish. 13% were Hindu and 6% Muslim. This data is from a very small sample.

### Changes relating to customer information

<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>Positive Capita Symonds have committed to ensuring that the customer is referred to all the relevant services for their needs. This includes staff training on other services available that may be relevant to DRS customers (sign posting). This will help to ensure that customers will have the best chance to access all the most appropriate services for their needs. This will equally affect groups</p>	<p>Low</p>	<p>Low</p>	<p>Regularly review impact on profile and redesign service provision accordingly.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p>
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**Appendix 2 (ii)**

<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>with protected characteristics outlined within Equalities legislation.</p>	<p>Low</p>	<p>Low</p>	<p>Regularly review impact on customer profile and redesign service provision accordingly. For residents and customers with protected characteristics, information relating to their case will need to be available through other channels, such as by telephone.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then quarterly.</p>
<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>Positive Capita Symonds will provide a web based service that will help customers have access to all services linked to their specific enquiry e.g. a noise complaint concerning a faulty alarm ringing. A customer can check on progress of case without having to ring in. (Life event based customer contact). This will help to ensure that customers will have the best chance to access all the most appropriate services for their needs. This will equally affect groups with protected characteristics outlined within Equalities legislation who are IT literate.  There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	<p>High</p>	<p>Medium</p>	<p>Based on the data gathered on the demographic profile, regularly redesign service provision e.g.</p>	<p>Capita Symonds</p>	<p>3 months from introduction and then</p>

**Appendix 2 (ii)**

<p><b>profiling</b></p>	<p>characteristics and assess if this is representative of demographic change in Barnet (Insight Team). This will better inform the service delivery teams in on-going service redesign. This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>			<p>the increasing population over the age of 80 are less likely to be regular IT users.</p>		<p>quarterly.</p>
<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>Positive Capita Symonds will ensure that the services are designed to meet the needs of the customer through data analysis. This will be done through data sharing between DRS and NSCSO. This will help to ensure that DRS customers are provided with all the services that will help them meet their needs. This will equally affect groups with protected characteristics outlined within Equalities legislation.</p>	<p>High</p>	<p>Medium</p>	<p>Regularly review data on customer profile and service requirements, and ensure that the redesigned service appropriately meets those requirements. e.g. staff suitably trained to meet the needs of all groups with protected characteristics outlined within Equalities legislation.</p>	<p>Capita Symonds / Council</p>	<p>3 months from introduction and then quarterly.</p>
<p><b>Single customer view, insight engine and customer profiling</b></p>	<p>Positive Capita Symonds will improve measurement of customer satisfaction through regular surveys that capture demographic and geographical information as well as undertaking the survey through a variety of methods to ensure engagement with a variety of clients. This will provide a much clearer picture of customer satisfaction with the services and through the variety of</p>	<p>High</p>	<p>High</p>	<p>Ensure regular surveys are undertaken and that these are undertaken in a variety of methods.</p>	<p>Capita Symonds / NSCSO</p>	<p>Within the first 3 months.</p>



	methods should ensure that all client groups get to give feedback. This will impact on all groups with protected characteristics.						
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### 3. The experience of customers from groups with protected characteristics

#### Current situation

Based on the 2011 Residents' Perception Survey (NB specific questions related to TSL were not asked in 2012/13 RPS), 52% of users say that the trading standards service is 'good' or 'excellent', while just over a quarter of users say that it is 'poor' or 'extremely poor'. The majority of residents that don't use the trading standards service don't have an opinion on the service.

Results of monitoring data on National Indicator 182 (Satisfaction of Business with Local Authority Regulation Services) for 2010/11 showed that 89% of surveyed businesses were satisfied with Regulatory Services (Environmental Health, Trading Standards and Licensing). Specifically, it showed that:

- 87% of non-compliant businesses thought their business was treated fairly.
- 92% of non-compliant businesses thought the contact was helpful.
- 90% of compliant businesses thought their business was treated fairly.
- 87% of compliant businesses thought the contact was helpful

#### Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Public awareness</b>	Neutral Capita Symonds will create a Communications Manager role who will utilise new channels of communication, shape communication matter and adapt frequency for what users actually	High	High	Ensure that publicity is targeted correctly to engage with the full potential client base and uses a variety of methods to engage	Capita Symonds	From Day 1 of contract and ongoing.



	<p>require.</p> <p>This should raise public awareness of the services and what they do.</p> <p>This will impact on all groups with protected characteristics.</p> <p>Any communication made by Capita Symonds needs to be made through a variety of channels to raise awareness and engagement.</p> <p>Increased publicity could increase demand for the service which the service may be unable to sustain furthermore could increase demand for a service which is low risk therefore resource could be diverted away from high risk serious issues to deal with this demand.</p>			<p>with all of Barnet population (not just new channels of communication).</p> <p>Ensure the message is clear on when the service can help and when customer should self-serve – help manage the customer expectations prior to interaction to increase service satisfaction.</p>	
<p><b>Channel shift</b></p>	<p>Positive</p> <p>Capita Symonds will invest in technology to provide better and more on line delivery as well as retaining more traditional methods</p> <p>This should ensure that the service can serve and engage with customers 24/7 through the internet and also frees up valuable resources to be used elsewhere.</p> <p>This will impact on all groups with protected characteristics.</p> <p>There is also potential for negative</p>	<p>High</p>	<p>High</p>	<p>Undertake investment in on line technology.</p> <p>Regularly review impact on customer profile and redesign service provision accordingly. For residents and customers with protected characteristics, information relating to their case will need to be available through other channels, such</p>	<p>From Day 1 of contract and ongoing.</p>

**Appendix 2 (ii)**

	effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.				as by telephone.		
<b>Customer satisfaction KPI</b>	Positive Capita Symonds will meet all KPIs Trading Standards and Licensing have a KPI in relation to raising levels of customer satisfaction. This impacts on all groups with protected characteristics.	Medium	Low	Ensure that the targets in the KPIs are met.		From Day 1 of contract and ongoing.	
<b>On going review</b>	Positive Capita Symonds will proactively monitor demographic profile through insight service to ensure equality and diversity are key consideration in on-going continuous improvement review Continuous review which monitors the changing demographic profile will ensure a service which responds to the changing needs of the community. This impacts on all groups with protected characteristics.	Medium	Medium	Ensure that this profile is monitored and acted upon in relation to a continuous improvement review.		From Day 1 of contract and ongoing.	

#### 4. The existing arrangements for monitoring and promoting equality and diversity

##### Current situation

Carrying out an EIA is a requirement for any budget, project, policy or service change within the directorate. EIAs test the impact of such changes on the protected characteristics. Support and monitoring of this activity is facilitated by the Strategy and Performance function.

Informally, the service monitors the issues that they receive and tries to resolve it themselves. This is done by monitoring customer feedback in relation to interactions with the department

Formally, the service has set up the use of an interpreter. This is offered to all persons from businesses in the borough that are being formally investigated and are being interviewed under caution. It is also available ad hoc for other circumstances.

##### Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
Staff training	Positive Capita Symonds will train staff to respond in a way to encourage customers to let them know if they have any special requirements. If any particular requirements are identified at first point of contact it will make the customer journey easier for the customer. This impacts on all groups with protected characteristics.	Medium	Low	Ensure that this training takes place.	Capita Symonds	Within the first 3 months and ongoing throughout the contract.

**Appendix 2 (ii)**

<p><b>Channel Shift</b></p>	<p>Positive Capita Symonds will implement a customer access strategy at the start of the contract which aligns with the council's wider strategy for a channel shift. This should ensure that the service can serve and engage with customers 24/7 through the internet and also frees up valuable resources to be used There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities</p>	<p>High</p>	<p>High</p>	<p>Implementation of this policy Regularly review impact on customer profile and redesign service provision accordingly. For residents and customers with protected characteristics, information relating to their case will need to be available through other channels, such as by telephone.</p>	<p>Capita Symonds</p>	<p>From day 1 of contact and ongoing</p>
<p><b>Targeted interventions and systems</b></p>	<p>Positive Capita Symonds will introduce data analysis for TS&amp;L to better target interventions. Capita Symonds will improve tailoring of systems to customer needs and priorities through data analysis Continuous review which monitors the changing demographic profile will ensure a service which responds to the changing needs of the community. This impacts on all groups with</p>	<p>Medium</p>	<p>Medium</p>	<p>Implement this data analysis. Ensure that looks at whether early proactive interventions or redesign are needed in relation to language cultural barriers to prevent offending.</p>	<p>Capita Symonds</p>	<p>From day 1 of contact and ongoing.</p>

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<p><b>24/7 service</b></p>	<p>protected characteristics.</p> <p>Positive Capita Symonds will improve customer access through convenient extended service hours and electronic service. This should ensure that the service can serve and engage with customers 24/7 through the internet and also frees up valuable resources to be used elsewhere. This impacts on all groups with protected characteristics.</p>	<p>Medium</p>	<p>Low</p>	<p>Implement the extended service hours and online services.</p>	<p>Capita Symonds</p>	<p>Within the first 3 months.</p>
<p><b>Measure of accessibility</b></p>	<p>Positive Capita Symonds will measure customer service through a number of methods including a measure of the accessibility of the service. This will provide a much clearer picture of customer satisfaction with the service and through the variety of methods should ensure that all client groups get to give feedback. This impacts on all groups with protected characteristics.</p>	<p>High</p>	<p>Medium</p>	<p>Implement these measures. Ensure that a plan of action to rectify issues with accessibility results from this data analysis.</p>	<p>Capita Symonds</p>	<p>From day 1 of contact and ongoing.</p>
<p><b>Benchmarking</b></p>	<p>Positive There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future</p>	<p>High</p>	<p>Medium</p>	<p>Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in</p>	<p>Council</p>	<p>Within 3 months and on-going thereafter.</p>

	service provision			service provision and customer perception.  Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.	
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**5. Existing known equalities issues in the service**

**Current situation**

The main issue is the language barrier for customers whose first language is not English. It is not so much in the day-to-day conversations but rather in relation to the requirements when filling in forms and providing documentation.

In 2009, this issue was actively addressed within the Street Trading Team. Many of the applicants' first language was not English and, although they could speak good conversational English, they found the forms and terminology confusing. The service undertook a survey to see if there was a particular ethnic group that were applying for these licences and to see whether the service could provide translation. The response rate was low and showed a wide range of languages present. Therefore, instead the service chose to simplify the application form and guidance notes. The service also started making more visits to the premises to speak directly to the applicants to resolve any language/terminology issues, both of which helped resolve the issues.

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
Language Barrier	Positive Capita Symonds will measure customer service through a number of methods	Medium	Medium	Review of all documentation and processes in relation particularly to licensing to	Capita Symonds	Within 12 months of contact date.

	<p>including a measure of the accessibility of the service.</p> <p>This should identify any issues with accessibility with the service and allow these to be rectified.</p> <p>This impacts on all groups with protected characteristics.</p>			<p>enable clear and understandable information being provided to all clients to enable a smoother process.</p>	
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## Equalities Impact Assessment of Capita Symonds' Final Tender on Traffic & Development, and Highways Strategy

### 1. Introduction

#### Current Situation

The structure of the Traffic & Development service reflects the need to address a range of statutory functions; the delivery of national and strategic performance indicators, as well as meeting identified council priorities. The service is currently comprised of the following three teams: Design Team, Development Team and the Planning & Safety Team. Primary functions for the service are as follows:

- parking amendments;
- traffic schemes;
- planning of highways maintenance programmes;
- road safety; and
- development control.

The key function of the Highways Strategy Team is to develop highways and transport strategy, and in particular, the borough's Local Implementation Plan (LIP) for transport and associated funding submissions. It provides advice on a range of transport policy issues and is the main point of contact for liaison with Transport for London (TfL) across a range of activities. It leads on public transport issues affecting the borough, the promotion of highway improvements for the benefit of bus passengers, and initiates and arranges funding of transport schemes which are then moved over to the planning team. Some of the main functions for the service are as follows:

- Transportation policy / transport planning.

## Appendix 2 (ii)

- Responding to enquires on the service such as related to walking and cycling rights of way, questions from the council itself and residents' forums.
- Local Implementation Plan (LIP) development for the next 3 years.
- LIP funding applications.
- Road safety monitoring (via the injury accidents database).
- Main point of contact for TfL related to traffic management and works proposals, funding activities and regional planning.

### Summary of the Final Tender

Capita Symonds' key commitments are as follows:

- Capita Symonds commits to delivery of all requirements contained within the output specifications with some proposed enhancements focussed on:
  - o Investment in ICT and enabling software and processes to enhance service delivery.
  - o Committing to undertake stakeholder engagement to understand how to provide improved access to services and raise satisfaction levels.

Capita Symonds has committed to complying with the council's Equalities Policy and equalities legislation.

It is considered that the groups with protected characteristics under equalities legislation, including age, disability, gender reassignment, marital status, pregnancy and maternity (including teenage parents), race, religion or belief, sex and sexual orientation are all unlikely to be negatively affected by Capita Symonds' proposals, and it is likely that there will be positive outcomes for these groups in time.

## 2. The diversity profile of the service's customers (people from groups with protected characteristics)

### Current situation

A diversity profile of external customers has not been gathered and analysed routinely by the team due to the lack of resources. Furthermore, there is evidence that suggests that adding diversity-related questions within general customer questionnaires result in lower response rates to the overall questionnaires. The function of the service is close to universal so for the purposes of day-to-day decision making it assumes its customer composition, including the representation of groups with protected characteristics, reflects that of the borough as a whole (covered in the introduction to this document).



Changes relating to customer information

Single Customer View	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p>Positive/Negative</p> <p>Capita Symonds will invest in ICT, Exor, GIS and real time data, and web-enablement to allow enhanced engagement methods through increased potential for self-service, increased contact methodology choice and information exchange (Service SIDP).</p> <p>This will help to ensure that IT enabled customers will be able to access the service more efficiently.</p> <p>This will positively impact on all groups with protected characteristics who are IT enabled. There will however be a negative impact on all those within the groups of protected characteristics who are non-IT literate or do not have IT access.</p> <p>Positive</p> <p>Capita Symonds will implement a new customer access strategy – a new relationship with customers to improve interaction between DRS and NSCSO to</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor and ensure linkage with NSCSO by establishment of a service level agreement that will ensure that Capita Symonds' commitments can be fulfilled.</p> <p>Client Team to monitor and ensure full engagement with all existing and potential</p>	<p>Council</p> <p>Council</p>	<p>Within 3 months of commencement and on-going thereafter.</p> <p>Within 6 months of commencement and on-going thereafter.</p>	

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<p>provide a seamless customer service with increased first point of contact resolution (Transformation SIDP). This will help to ensure that IT enabled customers will be able to access the service more efficiently. This will positively impact on all groups including those with protected characteristics assuming that the customer engagement outcomes inform the access strategy.</p> <p>Positive</p> <p>Capita Symonds will utilise a life events based customer contact management to enable groups of related services likely to be required by a type of customer associated with a type of event to be delivered through a single point of contact enabling end to end support for all of those needs for key groupings in line with customer access strategy (CS&amp;E SIDP).</p> <p>Through the engagement strategy it is expected that those groups who have regular need to interact with different delivery units experience a managed and co-ordinated experience.</p> <p>This will positively impact on all groups including those with protected characteristics who have this need.</p>		High	High	<p>future service users including those with protected characteristics through linkage with NSCSO by establishment of a service level agreement that will ensure Capita Symonds' commitments can be fulfilled.</p> <p>Client Team to ensure that desired outcomes are monitored ensuring those with multiple and/or specific needs are catered for.</p>	Council	<p>Within 3 months of commencement and on-going thereafter.</p>
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**Appendix 2 (ii)**

<p><b>Customer Profiling</b></p>	<p>Positive Capita Symonds will develop a Stakeholder Management Plan (SMP) which will involve a comprehensive review of all Barnet Stakeholders to identify their specific needs for service and communications, including stakeholder mapping – Service SIDP This will help to ensure that better customer feedback will inform improvements in service delivery. This will positively impact on all groups including those with protected characteristics who have this need.</p>	<p>High</p>	<p>Medium</p>	<p>Client Team to monitor and to ensure all sections of the community including those with protected characteristics are captured within the proposals contained within the Stakeholder Management Plan.</p>	<p>Council</p>	<p>Within 6 months of commencement and on-going thereafter.</p>
	<p>Positive Capita Symonds will categorise stakeholders into eight groups to identify most appropriate engagement methods for each group thus ensuring all needs catered for (Service SIDP). This will help to ensure that customers are provided with the most appropriate services as possible. This will positively impact on all groups including those with protected characteristics provided that those with protected characteristics are captured within the most appropriate groupings.</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor delivery and ensure proposed grouping are appropriate for those with protected characteristics and that intelligence gathered informs Service Development Plans and funding priorities</p>	<p>Council</p>	<p>On commencement and on-going thereafter.</p>
<p>Client Team to ensure</p>			<p>Client Team to ensure</p>	<p>Council</p>		

	<p>Positive/Negative</p> <p>Capita Symonds will implement an Insight Function which is proposed to be delivered to analyse monitor and report on equalities data in partnership with Middlesex University that will proactively monitor the demographic profile. The analysis will result in knowledge of customer reporting methodology, demographics of reporting and injury claim analysis to identify profile of claimants (Service SIDP).</p> <p>This will positively impact on all groups including those with protected characteristics by utilising data gathered to improve services provide.</p>	High	High	that intelligence gathered is used to inform service improvements and that desired outcomes are monitored to ensure there are positive benefits for all	Within 12 months of commencement and on-going thereafter.
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### 3. The experience of customers from groups with protected characteristics

#### Current situation

Similar to Highways Network Management 2011 Residents' Perception Survey, the condition of roads and pavements is the top concern of some key portions of the population. Residents who are aged 25-34, 65+, white, Jewish and with a disability are more likely to indicate that conditions of roads and pavements is one of their top concerns. Residents who own their property outright and living in West Hendon and Colindale are more likely to say this is one of their top three concerns.

Personal concern for traffic, pollution and transport have all declined since 2004/05. Traffic in Barnet has been the largest cause for concern since 1995/96. In 2010/11 nearly twice as many residents were concerned about traffic than pollution, and over three times as many were concerned about transport.

The number of people concerned about litter or dirt on the streets has dropped by 9% since the 2007/08 survey and is at the lowest level of concern since data was available. The same percentages of people are concerned about Barnet's leisure centres at 10%, which is not significantly different from any figures seen since 2002/03.

## Appendix 2 (ii)

21% of residents said that parking services in Barnet were good or excellent which is 9% lower than the London average. This is 5% fewer residents than 2007/08.

### Changes relating to customer experience

	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Single Customer View</b>	<p>Positive/Negative</p> <p>Capita Symonds will invest in ICT, Exor, GIS and real time data, and web-enablement to allow enhanced engagement methods through increased potential for self-service increased contact methodology choice and information exchange (Service SIDP).</p> <p>This will help to ensure that IT enabled customers will be able to access the service more efficiently.</p> <p>This will positively impact on all groups with protected characteristics who are IT enabled. There will, however, be a negative impact on all those within the groups of protected characteristics who are non-IT literate or do not have IT access.</p> <p>Positive</p> <p>Capita Symonds will implement a new Customer Access Strategy – a new</p>	High	High	<p>Client Team to monitor and ensure linkage with NSCSO by establishment of a service level agreement that will ensure Capita Symonds' commitments can be fulfilled.</p> <p>Client Team to monitor and ensure full engagement with all</p>	Council	<p>Within 3 months of commencement and on-going thereafter.</p> <p>Within 6 months of</p>

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	<p>relationship with customers to improve interaction between DRS and NSCSO to provide a seamless customer service with increased first point of contact resolution .</p> <p>This will help to ensure that IT enabled customers will be able to access the service more efficiently.</p> <p>This will positively impact on all groups including those with protected characteristics assuming that the customer engagement outcomes inform the access strategy.</p> <p>Positive</p> <p>Capita Symonds will utilise a life events based customer contact management to enable groups of related services likely to be required by a type of customer associated with a type of event to be delivered through a single point of contact enabling end to end support for all of those needs for key groupings in line with customer access strategy (CS&amp;E SIDP).</p> <p>Through the engagement strategy it is expected that those groups who have regular need to interact with different delivery units experience a managed and coordinated experience.</p> <p>This will positively impact on all groups</p>	<p>High</p>	<p>High</p>	<p>existing and potential future service users including those with protected characteristics through linkage with NSCSO by establishment of a service level agreement that will ensure that Capita Symonds' commitments can be fulfilled.</p>	<p>Council</p>	<p>commencement and ongoing thereafter.</p> <p>Within 3 months of commencement and ongoing thereafter.</p>
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<p><b>Customer Profiling</b></p>	<p>including those with protected characteristics who have this need.</p>	<p>High</p>	<p>Medium</p>	<p>Client Team to monitor and to ensure all sections of the community including those with protected characteristics are captured within the proposals contained within the Stakeholder Management Plan.</p>	<p>Council</p>	<p>Within 6 months of commencement and on-going thereafter.</p>
	<p>Positive Capita Symonds will develop a Stakeholder Management Plan (SMP) which will involve a comprehensive review of all Barnet Stakeholders to identify their specific needs for service and communications, including stakeholder mapping (Service SIDP). This will help to ensure that better customer feedback will inform improvements in service delivery. This will positively impact on all groups including those with protected characteristics who have this need.</p> <p>Positive Capita Symonds will categorise stakeholders into eight groups to identify most appropriate engagement methods for each group thus ensuring all needs catered for (Service SIDP). This will help to ensure that customers are provided with the most appropriate services as possible. This will positively impact on all groups including those with protected characteristics provided that those with protected characteristics are captured</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor delivery and ensure proposed grouping are appropriate for those with protected characteristics and that intelligence gathered informs Service Development Plans and funding priorities.</p>	<p>Council</p>	<p>On commencement and on-going thereafter.</p>



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	<p>within the most appropriate groupings.</p> <p>Positive</p> <p>Capita Symonds will implement an Insight Function which is proposed to be delivered to analyse monitor and report on equalities data in partnership with Middlesex University that will proactively monitor the demographic profile. The analysis will result in knowledge of customer reporting methodology, demographics of reporting and injury claim analysis to identify profile of claimants (Service SIDP).</p> <p>This will positively impact on all groups including those with protected characteristics by utilising data gathered to improve services provide.</p> <p>Additionally, profiling claim demographics may be seen as prejudicial towards certain sections of the community by implication.</p>	High	High	Client Team to ensure that intelligence gathered is used to inform service improvements and that desired outcomes are monitored to ensure there are positive benefits for all.	Council	Within 12 months of commencement and on-going thereafter.
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**4. The existing arrangements for monitoring and promoting equality and diversity**

**Current situation**

The team strives to promote equality through the following means:

- Analysis and response to findings to surveys such as The Residents' Perception Survey (RPS). In 2011, the team along with each directorate was required to produce a response and action plan based on the RPS findings.



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- Carrying out an EIA is a requirement for any budget, project, policy or service change within the directorate. EIAs test the impact of such changes on the protected characteristics. Support and monitoring of this activity is facilitated by the Strategy and Performance function.
- Regular reviews and analysis of complaints logged in CRM to identify Equalities related issues that need to be addressed.
- Events with specific communities when and where relevant to discuss issues such as Controlled Parking Zone proposals. Note that Controlled Parking Zones cover disabled parking bays.
- Subscription to external survey monitoring such as the National Highways and Public Transport Satisfaction Survey with results localised to borough level.

### Changes relating to monitoring and promotion of equality and diversity

	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Single Customer View</b>	<p>Positive/Negative</p> <p>Capita Symonds will invest in ICT Exor, GIS and real time data, and web-enablement to allow enhanced engagement methods through increased potential for self-service increased contact methodology choice and information exchange (Service SIDP).</p> <p>This will help to ensure that IT enabled customers will be able to access the service more efficiently.</p> <p>This will positively impact on all groups with protected characteristics who are IT enabled. There will however be a negative impact on all those within the</p>	High	High	Client Team to monitor and ensure linkage with NSCSO by establishment of a service level agreement that will ensure that Capita Symonds' commitments can be fulfilled.	Council	Within 3 months of commencement and on-going thereafter.

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	<p>groups of protected characteristics who are non-IT literate or do not have IT access.</p> <p>Positive</p> <p>Capita Symonds will implement a new customer access strategy – a new relationship with customers to improve interaction between DRS and NSCSO to provide a seamless customer service with increased first point of contact resolution (Transformation SIDP).</p> <p>This will help to ensure that IT enabled customers will be able to access the service more efficiently.</p> <p>This will positively impact on all groups including those with protected characteristics assuming that the customer engagement outcomes inform the access strategy.</p> <p>Positive</p> <p>Capita Symonds will utilise a life events based customer contact management to enable groups of related services likely to be required by a type of customer associated with a type of event to be delivered through a single point of contact enabling end to end support for all of those needs for key groupings in line with Customer Access Strategy</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor and ensure full engagement with all existing and potential future service users including those with protected characteristics through linkage with NSCSO by establishment of a service level agreement that will ensure that Capita Symonds' commitments can be fulfilled.</p> <p>Client Team to ensure that desired outcomes are monitored ensuring those with multiple and/or specific needs are catered for.</p>	<p>Council</p>	<p>Within 6 months of commencement and ongoing thereafter.</p> <p>Within 3 months of commencement and ongoing thereafter.</p>
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**Appendix 2 (ii)**

<p><b>Customer Profiling</b></p>	<p>(Customer Service &amp; Engagement SIDP). Through the engagement strategy it is expected that those groups who have regular need to interact with different delivery units experience a managed and co-ordinated experience. This will positively impact on all groups including those with protected characteristics who have this need.</p>					
	<p>Positive Capita Symonds will develop a Stakeholder Management Plan (SMP) which will involve a comprehensive review of all Barnet Stakeholders to identify their specific needs for service and communications, including stakeholder mapping (Service SIDP). This will help to ensure that better customer feedback will inform improvements in service delivery. This will positively impact on all groups including those with protected characteristics who have this need.</p>	<p>High</p>	<p>Medium</p>	<p>Client Team to monitor and to ensure all sections of the community including those with protected characteristics are captured within the proposals contained within the Stakeholder Management Plan.</p>	<p>Council</p>	<p>Within 6 months of commencement and on-going thereafter.</p>
	<p>Positive Capita Symonds will categorise stakeholders into eight groups to identify most appropriate engagement methods for each group thus ensuring all needs</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor delivery and ensure proposed grouping are appropriate for those with protected</p>	<p>Council</p>	<p>On commencement and on-going thereafter.</p>

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	<p>catered for (Service SIDP).</p> <p>This will help to ensure that customers are provided with the most appropriate services as possible.</p> <p>This will positively impact on all groups including those with protected characteristics provided that those with protected characteristics are captured within the most appropriate groupings.</p> <p><b>Positive</b></p> <p>Capita Symonds will implement an Insight Function which is proposed to be delivered to analyse monitor and report on equalities data in partnership with Middlesex University that will proactively monitor the demographic profile. The analysis will result in knowledge of customer reporting methodology, demographics of reporting and injury claim analysis to identify profile of claimants.</p> <p>This will positively impact on all groups including those with protected characteristics by utilising data gathered to improve services provide.</p> <p>Additionally, profiling claim demographics may be seen as prejudicial towards certain sections of</p>	<p>High</p>	<p>High</p>	<p>characteristics and that intelligence gathered informs Service Improvement &amp; Development Plans and funding priorities.</p> <p>Client Team to ensure that intelligence gathered is used to inform service improvements and that desired outcomes are monitored to ensure there are positive benefits for all.</p>	<p>Council</p>	<p>Within 12 months of commencement and on-going thereafter.</p>
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<p><b>Benchmarking</b></p>	<p>the community by implication.</p> <p>Positive</p> <p>There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision</p>	<p>High</p>	<p>Medium</p>	<p>Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception.</p> <p>Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.</p>	<p>Council</p>	<p>Within 3 months and on-going thereafter.</p>
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**5. Existing known equalities issues in the service**

**Current situation**

Two issues have been identified as follows:

- A specific and deliberate programme of regular engagement and interaction with the customer base for feedback was designed but not implemented. This would provide that essential intelligence required shaping and delivering services in a responsive manner to different sections of the community.
- Staff residents’ panel set up by the Strategy and Performance function aimed at tapping into local community issues and perceptions of the service via staff resident in the borough. This needs to be resurrected to ensure intelligence is utilised to improve our service and respond to customers.

Subsequent issues identified and requested to be highlighted include examples such as:

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- Tactile paving – By catering for a particular sector of the protected group (visually impaired) by facilitating improved road safety and pedestrian experience, the measures have been highlighted to be of inconvenience and concern to other groups (i.e. elderly, physically impaired).
- Customer Perception Surveys – Recent surveys show that residents' perception of roads and pavements are one of their highest concerns. However structure of generic questions do not allow analysis as to specific reasons.

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Customer Satisfaction and service specific engagement</b>	<p>Positive</p> <p>The directorate's proposal to capture service users' opinions and needs of specific delivery units was not implemented as intended but is captured within Capita Symonds' proposal.</p> <p>If Capita Symonds act to gather customer feedback then this will positively impact on all groups with protected characteristic by better understanding their needs and wants.</p>	High	High	Client team to monitor and participate in formulating appropriate all inclusive engagement strategy.	Council	Within 6 months and on-going thereafter.
<b>Additional highlighted issues</b>	<p>Negative</p> <p>Capita Symonds' proposed service enhancements assume that improvements can be achieved with the introduction of customer-focused measures through redesign of services but do not adequately allow for subsequent negative impact on other service users. This may lead to some</p>	High	High	Client Team to monitor and ensure service design and provision of those services takes into account unintended consequences through robust application of EIA procedures when	Council	On commencement and on-going.

	customers, particularly among those with protected characteristics, not being able to receive proper services.			agreeing delivery of service measures.	
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## Equalities Impact Assessment of Capita Symonds’ Final Tender on Planning

### 1. Introduction

#### Current Situation

Planning & Development covers statutory planning processes, enforcements, and major projects (Building Control and Land Charges are treated as stand-alone services for the purposes of this project). Planning & Development, as a whole, generates significant income although this does not cover all of its costs. Volumes, and therefore income, have decreased in recent years due to less building activity, currently at around 4,500 per annum down from a peak of 5,500. Planning fees are set nationally but the council are able to set charges for planning advice. Key functions for the service are as follows:

- Processing planning and other applications and associated appeals, including works to trees.
- Dealing with alleged breaches of planning control, including the service of notices, enforcement appeals and prosecutions.
- Reviewing processes and legislation.

#### Summary of the Final Tender

Capita Symonds’ overall key commitments for the Planning service are outlined below:

- Capita Symonds will improve and integrate the ICT solution by replacing the ACOLAID system with the UNIFORM system to enable easier access to information, joined up working, and improving flexibility. They will also introduce complementary Idox systems that will make the service more joined up and more seamless.
- Capita Symonds will improve the quality of the Planning service for applicants by introducing new processes such as facilitating developer engagement with the community at pre-application stage through holding regular forums.
- Capita Symonds will provide professional training opportunities for staff.



Capita Symonds' specific equality commitments are outlined below:

The proposals in the bid will help the Planning service to fulfil its equalities duties to:

- Eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act.
- Advance equality of opportunity by removing or minimising disadvantages experienced by people due to their protected characteristics, meeting the needs of particular groups and encouraging underrepresented groups to participate in public life; and
- Foster good relations between those sharing and those not sharing protected characteristics by tackling prejudice and promoting understanding.

By:

- Providing analytics function to enhance engagement with service users and tailoring of services to their needs and priorities.
- Investing in an Insight capability to record and analyse customer engagement, including Customer Liaison Officers and new ICT function.
- Creating a Stakeholder Development Plan to identify key stakeholders, evaluate importance to service delivery and address any shortcomings.
- Setting up social media user groups for close engagement with customers.
- Providing support to the council to manage its relationship with Barnet Homes to ensure efficient and effective management of housing stock and relationships with tenants and leaseholders.
- Minimising areas of private sector housing where there are high concentrations of single elderly occupiers.

Capita Symonds will develop new services to meet the needs of current and all potential future users by:

- Testing ideas and policies before implementation.
- Working to track overall resident and user satisfaction over time (enhancing intelligence and understanding – 'Insight') and a commitment to improve customer satisfaction
- Enabling customers to look at a problem from different perspectives and develop solutions together.
- Promoting the democratic process and the basic right to control over their own lives.
- Complying with statutory duties to consult – e.g. those duties in respect of Planning Regulations, those contained in the Statement of Community Involvement, and any other statutory requirements.
- Support the council's existing channels of communication with local people and businesses (e.g. surveys, focus groups and statutory duties to consult).



- Capita Symonds commit to fully supporting the council's commitment to equality by:
  - Ensuring staff deal with customers' needs accordingly.
  - Delivering services that reflect and respond to the diverse population.
  - Changing service delivery to cater for demand and increases in diversity over the life of the partnership.
- Capita Symonds commit to manage interactions with customers in a way which is fully compliant with the council's equality responsibilities, objectives and policies and provide resources and systems that ensure we are able to cater for the growing and increasing diversity of the population in the borough.
- Capita Symonds will ensure that the Service Director is responsible for ensuring that employment practices comply with required standards in respect of equality and diversity
- Capita Symonds will proactively monitor the demographic profile of the borough at ward level using the 'Insight' software function, including the extent to which service delivery and access reflects population growth and increasing diversity, thereby ensuring it is a priority in the continuous improvement review process.

### Other equalities related commitments for the Planning service:

- Capita Symonds will utilise the analytics function to enhance engagement with service users and tailoring of services to their needs and priorities, thereby enhancing the engagement and acknowledged relevance and value of DRS to the users of the service and increase the amount and reactivity of engagement together with enabling users to contribute ideas.
- Capita Symonds will ensure that the aspirations of the community are properly addressed through the Statement of Community Involvement.
- Capita Symonds will use the 'Insight' capability to tailor communication channels for different audiences.
- The 'Insight' function will be supported by specialist research, analysis and scenario planning undertaken by staff drawn from Middlesex University.
- Capita Symonds will make integrated social and demographic data and trend analyses available to the public in support of the provision of statistical information and demographic data so as to enable the development of a 'Barnet Observatory' to measure and assess the implications for service delivery of social change and economic activity.

A summary of the impact on groups with protected characteristics is presented below;

- Age – There is likely to be some compromise of information provided by older people from focus on use of online resources to obtain customer feedback. Older people less likely to use online resources. This can be mitigated by retaining a range of channels (including phone or face-to-face contact) and ensuring appropriate weighting.
- Disability – There is the possibility of impact on sub-groups of this protected characteristic from any relocation of the Planning Reception.
- Gender reassignment – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Marital status – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Pregnancy and maternity – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Race – There is likely to be some compromise of information provided by people whose first language is not English from focus on use of online resources. Can be mitigated by retaining a range of channels (including phone or face-to-face contact) for providing customer feedback and ensuring appropriate weighting.
- Religion or belief – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Sex – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Sexual orientation – There is unlikely to be any impact on sub-groups of this protected characteristic.

The council and Capita Symonds will continue to review the Equality impacts on Planning Services on an on-going basis.

## **2. The diversity profile of the service's customers (people from groups with protected characteristics)** **Current situation**

A diversity profile of external customers has not been gathered routinely by the team since the function of the service is close to universal. Information is collected in respect of the applications which are made, but not in regards to the applicants themselves and their equalities profiling. Hence, for the purposes of day-to-day decision making it assumes its customer composition, including the representation of groups with protected characteristics, reflects that of the borough as a whole (covered in the introduction to this document). The team provides a service to anyone who applies for planning & tree consents or make an enforcement type complaint and consult those who may be affected by the proposals in line with our consultation policy.

Changes relating to customer information

	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Single Customer View: 'Insight' Engine</b></p>	<p>Positive Capita Symonds will provide an 'Insight' software function which allows for tailoring of service delivery through analysis of mapped data from consultations, surveys, complaints, transaction history and personal profiles. This will allow specific customer needs and priorities to be highlighted and addressed in a systematic and efficient way. This will affect all groups under the protected characteristics</p>	<p>Medium</p>	<p>Medium</p>	<p>Regularly utilise the Insight software and redesign the service model based on the findings and conclusions. Ensure compliance with Data Protection Act, informing customers how their data will be used. Test any new service designs with representative customer groups before large scale roll out.</p>	<p>Capita Symonds  Capita Symonds  Capita Symonds</p>	<p>Within 12 months and on-going.  Within 12 months and on-going.  Within 12 months and on-going.</p>
<p><b>Single Customer View: Customer Profiling</b></p>	<p>Positive Capita Symonds has committed to undertake market analysis for planning applicants to understand customer segments and neighbourhoods (demand, market price and approaches to communication). This will allow the service to engage more effectively with their customers which will lead to an improved customer experience. This will</p>	<p>Medium</p>	<p>Low</p>	<p>Ensure that market analysis is conducted regularly and that the service further tailors its customer engagement approach accordingly. Ensure in seeking to reduce costs through targeting</p>	<p>Capita Symonds  Capita Symonds</p>	<p>Within 12 months and on-going.  Within 12 months and on-going.</p>

	affect all groups under the protected characteristics.			communications that protected groups continue to be included.	and Commissioning Group	on-going.
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### 3. The experience of customers from groups with protected characteristics

#### Current situation

Based on the 2011 Residents' Perception Survey, users are much more likely to rate the Planning and Building Control services as 'good to excellent' (45%) compared to all respondents (42%). However, users are also much more likely to say the service is 'average' or 'poor to extremely poor' compared to all respondents with almost of all respondents (49%) saying they did not know.

Based on the Planning Customer Satisfaction Survey (August 2012), 58% were either 'very satisfied' or 'fairly satisfied' with the service that was received. However, almost 32% said that they were 'fairly dissatisfied' or 'very dissatisfied' with the service.

The GovMetric data (November 2012) has indicated that the Planning Permission section of the council website is very poor (e.g. planning application not available online).

#### Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Access Strategy: Customer Enabling ICT</b>	Positive Capita Symonds commit to enhanced on-line information and providing an on-line mechanism for engagement and reporting breaches Capita Symonds will also encourage on-line self-service, but direct access to officers will still be retained for those	High	Medium	Ensure that market analysis is conducted regularly and that the service further tailors its customer engagement approach accordingly.	Capita Symonds	Within 12 months and ongoing.

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<p><b>Access Strategy: Enhanced Engagement</b></p>	<p>who prefer, together with an extended Duty Officer service</p> <p>Capita Symonds commit to provide (retain) a choice of access channels allowing the most convenient access for customers.</p> <p>These services will enhance the on-line planning service and improve the possibility of 'self-help' functionality, ensuring an improved overall customer experience by enabling them to control their access to it. This will positively affect all groups under the protected characteristics.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	<p>Medium</p>	<p>Low</p>	<p>Ensure an equality of information is available through all mediums and support is present at Planning Reception to assist.</p>	<p>Capita Symonds</p>	<p>Not Specified. Ideally from day 1 and on-going.</p>
<p><b>Access Strategy: Enhanced Engagement</b></p>	<p>Neutral</p> <p>Capita Symonds commits to facilitate developer engagement in line with Statement of Community Involvement, where early engagement between the developer and the community is encouraged</p> <p>This will ensure that such forums are responsive to its customers, consistent</p>	<p>Medium</p>	<p>Low</p>	<p>Ensure the possibility for meaningful feedback from attendees as opposed to presentation of a fait accompli. Ensure facility present to enable all</p>	<p>Capita Symonds</p>	<p>Not Specified. Ideally from day 1 and on-going.</p>

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	<p>in approach and provide clarity of service information. This will affect all groups under the protected characteristics.</p>			<p>attendees to access and participate.</p>	<p>Capita Symonds</p>	
<p><b>Access Strategy: Idox Online Payments &amp; Cloud Consultee</b></p>	<p>Positive/Neutral            Capita Symonds will introduce Idox systems to provide flexible payment options and integrate with public access module (PDM SIDP p15).            This will enable easier access to information, joined-up working and improving flexibility for future service improvements. This will affect all groups under the protected characteristics, but may have a neutral impact on those who are not IT or English literate, most notably amongst the Age or Race groups.</p>	<p>High</p>	<p>High</p>	<p>Ensure that market analysis is conducted regularly and that the service further tailors its customer engagement approach accordingly.            Ensure other traditional methods of payment remain available (telephone, in person, cheque-via-post).</p>	<p>Capita Symonds            Capita Symonds</p>	<p>Within 6 months and on-going.</p>
<p><b>Customer Satisfaction: Dedicated Customer Service Team</b></p>	<p>Positive            Capita Symonds commit to forming a consolidated team to focus on providing excellent customer service, equipped with new and enhanced systems. This will enable them to provide a high-level of first touch resolution across DRS. This will affect all groups under the protected characteristics.</p>	<p>High</p>	<p>Medium</p>	<p>Ensure that market analysis is conducted regularly and that the service further tailors its customer engagement approach accordingly.            Triage customers to identify their needs and ensure all information is passed on to those dealing with responses and</p>	<p>Capita Symonds            Capita Symonds</p>	<p>Within 12 months and on-going</p>

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<p><b>Customer Satisfaction: Regular User Forums</b></p>	<p>Positive Capita Symonds commit to undertaking quarterly forums to brief and consult regular users on service changes, technical issues and service issues. This will enable aspects of the service to be tailored to facilitate those who use it most. This will affect all groups under the protected characteristics.  There is also potential for negative effects, requiring mitigation. There are those with protected characteristics who may not benefit from this – including older adults, non-English speakers and those with disabilities, or parents may find it more difficult to access these events or interactions</p>	<p>Medium</p>	<p>Medium</p>	<p>follow up. Ensure that regular reviews are conducted and that the service further tailors its approach accordingly. Ensure that this limited user group doesn't become the leading influence on service design and review overall profile of user groups to ensure representation of those with protected characteristics.</p>	<p>Capita Symonds  Capita Symonds</p>	<p>Within 6 months and on-going.</p>
<p><b>Customer Satisfaction: Continuing Online Surveys</b></p>	<p>Neutral Capita Symonds will continue to seek (on-line) feedback on customer experience of the service This will enable aspects of the service to be tailored to respond to concerns or suggestions raised. This will affect all groups under the protected characteristics. There are those with protected</p>	<p>Medium</p>	<p>Medium</p>	<p>Retain traditional survey mediums and ensure responses through all mediums are given equal weight. Explore persistent gaps in responses highlighted by the Insight function. Ensure</p>	<p>Capita Symonds</p>	<p>Within 6 months and on-going.</p>

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	<p>characteristics who may not benefit from this – including older adults, non-English speakers and those with disabilities, or parents may find it more difficult to access these events or interactions</p>	<p>Low</p>		<p>representation of those with protected characteristics.</p>		
<p><b>Customer Satisfaction: Post Planning Committee Survey</b></p>	<p>Positive Capita Symonds will seek feedback from attendees of the planning committee. This will enable an understanding of their experience of the service  This will enable aspects of the service to be tailored to respond to concerns or suggestions raised. This will affect all groups under the protected characteristics.</p>	<p>Low</p>	<p>Low</p>	<p>Ensure that any responses are appropriately weighted as likely to be unfairly biased in direct response to the outcome which they have just witnessed in respect of the matter which they have a particular vested interest in.</p>	<p>Capita Symonds</p>	<p>Within 6 months and on-going.</p>
<p><b>Customer Satisfaction: Monitoring</b></p>	<p>Positive Capita Symonds commits to monitor customer service and satisfaction with regular assessment against relevant service KPI's and Customer Service Super KPI's through:</p> <ul style="list-style-type: none"> <li>• Telephone monitoring.</li> <li>• Complaint monitoring.</li> <li>• Quality checks on correspondence.</li> <li>• General observations.</li> <li>• Feedback from customers.</li> </ul>	<p>High</p>	<p>Medium</p>	<p>Ensure responses through all mediums are given equal weight. Explore persistent gaps in responses highlighted by the Insight function.  Review the integrity of the responses to satisfy KPI and SKPI targets.</p>	<p>Capita Symonds  Commissioning Group</p>	<p>Within 12 months and on-going.</p>



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	<ul style="list-style-type: none"> <li>Focus groups with staff and customers.</li> </ul> <p>This will enable there to be measurable standards in place for them to monitor and to periodically check with customers whether those standards are the right ones. This will affect all groups under the protected characteristics.</p>	Medium	Medium			
<p><b>Other: Insight Function</b></p>	<p>Positive</p> <p>Capita Symonds commits to utilising the 'Insight' function to tailor service delivery through analysis of data from consultations, surveys, complaints, transaction history and personal profiles</p> <p>This will allow specific customer needs and priorities to be highlighted and addressed in a systematic and efficient way. This will affect all groups under the protected characteristics.</p>	Medium	Medium	<p>Regularly utilise the Insight software and redesign the service model based on the findings and conclusions.</p> <p>Ensure compliance with Data Protection Act (e.g. informing customers how their data will be used).</p>	<p>Capita Symonds</p> <p>Capita Symonds</p>	<p>Within 12 months and on-going.</p>
<p><b>Other: Life events</b></p>	<p>Positive</p> <p>Capita Symonds propose to use 'life events' as the stimulus for assisting the customer with other services</p> <p>This is likely to increase customer satisfaction by guiding customers through all of their potential obligations (i.e. where a customer is making a planning application they can also be put in contact with Building Control and</p>	High	High	<p>Ensure that regular reviews are conducted and that the service further tailors approach accordingly.</p> <p>Should consider particular needs of protected groups when designing the life events approach,</p>	<p>Capita Symonds</p> <p>Capita Symonds</p>	<p>Day 1 and on-going.</p>

	Street Naming & Numbering). This will affect all groups under the protected characteristics.			to ensure life events relating to all groups are considered. Ensure systems are in place to guard against a conflict of interest.	Commissioning Group
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#### 4. The existing arrangements for monitoring and promoting equality and diversity

##### Current situation

All business units in Planning and Building Control are demand led and applications are processed in the same way for all applicants. Advice on planning applications and Land Charge searches are provided at the customer reception at Barnet House. Barnet House Reception and the customer services centres comply with the requirements of the relevant legislation including accessibility for people with visual and hearing impairments as well as physical disabilities. Telephone advice is provided by all teams.

The arrangements in place are as follows:

- Analysis and response to findings to surveys such as The Residents' Perception Survey (RPS). Similar to all services, in 2011 this service was required to produce a response and action plan based on the RPS findings.
- Carrying out an EIA is a requirement for any budget, project, policy or service change within the directorate. EIAs test the impact of such changes on the protected characteristics. Support and monitoring of this activity is facilitated by the Strategy and Performance function.
- Regular reviews and analysis of complaints logged in CRM to identify Equalities related issues amongst others.
- Where applications affect certain communities, additional equalities data may be sought, a recent example being the Eruv application in Barnet.

Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Equalities Training</b>	<p>Positive</p> <p>Capita Symonds commits to undertake formal equalities training to support staff</p> <p>This will help to ensure that staff deal with customers' needs accordingly and treat them with respect and understanding and make any necessary arrangements to do so. This will affect all groups under the protected characteristics.</p>	High	High	<p>Ensure all staff (including those considered to be back office/contact centre staff) are included in the training.</p> <p>Ensure that regular reviews of the training and of training requirements are conducted and that it is updated accordingly.</p>	Capita Symonds	Day 1 and on-going.
<b>Customer Satisfaction</b>	<p>Positive</p> <p>Capita Symonds commit to undertaking regular surveys, forums and monitoring processes of service users</p> <p>This will enable aspects of the service to be tailored in response to any concerns or suggestions raised. This will affect all groups under the protected characteristics.</p>	Low - Medium	Low - Medium	<p>Surveys and forums must collect equalities information to measure performance across all customer types. Implement specific plans to address any significant or trending deviations from baseline data. Test any new service designs with</p>	Capita Symonds	Within 12 months of start of contract.

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<b>Benchmarking</b>	Positive There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision	High	Medium	representative customer groups. Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception. Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.	Council	Within 3 months and on-going thereafter.
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**5. Existing known equalities issues in the service**

**Current situation**

The only issue occasionally faced which are dealt with informally are when residents are unable to access the internet or attend Planning Reception. In these circumstances, a planner or technician will visit the person's home with a copy of the plans and explain the proposal. It should be noted that these circumstances occur on a very infrequent basis.

<b>Issues</b>	<b>Description of potential impact</b>	<b>Likelihood of impact</b>	<b>Degree of impact</b>	<b>Actions that need to be taken to mitigate negative/ensure positive impact</b>	<b>Action owner</b>	<b>Action deadline</b>
<b>Language Barrier (on-</b>	Neutral	Medium	Low	Service to continue to	Planning Officers	Day 1 and

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<p><b>site)</b></p>	<p>This issue relates to the ability of customers to access or understand the service and their obligations. Capita Symonds intends to comply with existing council policies This will affect all groups under the protected characteristics, but without consideration it will likely result in a negative impact on those for whom English is not a first language, most notably amongst the race group.</p>			<p>follow council policies If Enforcement action is to be taken consider employing a translator (i.e. for interviews under caution).</p>		<p>on-going.</p>
<p><b>Sensitive Applications</b></p>	<p>Positive This is a potential issue regarding the types of consultation data amassed and the manner in which it is considered in determining sensitive applications (i.e. occasionally seeking additional consultation regarding or highlighting equalities data). Not referred to by Capita Symonds and so no specific solution offered for dealing with sensitive applications (e.g. mosque, synagogue, religious/'free' school, eruv). This will affect all groups under the protected characteristics, but without consideration it will likely result in a negative impact, most notably amongst the religion or race groups.</p>	<p>High</p>	<p>High</p>	<p>Ensure additional equalities data or consultations are sought where necessary to demonstrate robust consideration.</p>	<p>Capita Symonds and Commissioning Group</p>	<p>Day 1 and on-going.</p>

## Equalities Impact Assessment of Capita Symonds' Final Tender on Transport & Regeneration

### 1. Introduction

#### Current Situation

This service oversees Highways and Transport Planning input to Barnet's Local Plan (LP), regeneration projects, major planning applications and town centre strategies, including leading directly on the transport elements of the Brent Cross Cricklewood regeneration scheme. The service also provides a lead Highways Officer at Planning & Environment and Finchley Golders Green (FGG) Area Sub Committees, and FGG Forum, undertakes work on specialist transport policy studies, and strategic transport studies and high level transport planning and transportation development control liaison with other boroughs, TfL and sub-regional partnerships.

#### Summary of the Final Tender

Capita Symonds commits to delivery of all requirements contained within the output specifications with some proposed enhancements focussed on investment in Information Technology (IT) and enabling software and processes to enhance service delivery, customer knowledge, customer engagement, improved access to services and raised satisfaction levels. Thus there will be tailored communications for different user groups, such as via social media or face-to-face meetings. In particular a Stakeholder Management Plan is proposed to ensure that there are regular and appropriate communications and consultations with all relevant T&R stakeholders, including members and developers.

It is considered that the groups with protected characteristics under equalities legislation, including age, disability, gender reassignment, marital status, pregnancy and maternity (including teenage parents), race, religion or belief, sex and sexual orientation are all unlikely to be negatively affected by Capita Symonds' proposals, and it is likely that there will be positive outcomes for these groups in time, particularly those related to age and disability as and when the Brent Cross Cricklewood Regeneration scheme public transport improvements are delivered.

### 2. The diversity profile of the service's customers (people from groups with protected characteristics)

#### Current situation

A diversity profile of external customers has not been gathered routinely by the team. The function of the service is that it is a strategic service that has daily contact with various organisations/stakeholders, such as Transport for London, but limited contact with the public (other than at council meetings) and so is close to universal. For the purposes of day-to-day decision making it assumes its customer composition, including the representation of groups with protected characteristics, reflects that of the borough as a whole (covered in the

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introduction to this document), although improvements for certain groups, such as better accessibility for disabled people, are considered in appropriate circumstances as part of Regeneration schemes.

### Changes relating to customer information

	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Single Customer View</b>	<p>Positive</p> <p>Across Highways, Capita Symonds will undertake investment in IT (Exor, GIS and real time data), web-enabled to allow enhanced engagement methods through increased potential for online self-service and so increased contact methods for dealing with highways enquiries, choice and information exchange (T&amp;R SIDP p47).</p> <p>There will be a positive impact for all groups with protected characteristics who have IT access but neutral to those without IT access (young, old, those who cannot read English).</p>	High	High	Council Client Team to monitor and ensure linkages are made with other Barnet contract dealing with customer service cluster (NSCSO).	Council	Within 6 months of commencement and on-going thereafter.
	<p>Positive</p> <p>Customer access strategy – Capita Symonds will develop a new relationship with customers to improve interaction between this contract (DRS) and the customer contract (NSCSO) to provide a</p>	High	High	Council Client Team to monitor and ensure linkages are made with other Barnet contract dealing with customer service cluster	Council	Within 6 months of commencement and on-going thereafter.

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	<p>seamless customer service with increased first point of contact resolution for highways enquiries (Transformation SIDP).</p> <p>There will be a positive impact for all groups with protected characteristics who have IT access but neutral to those without IT access (young, old, those who cannot read English).</p> <p>Positive</p> <p>Capita Symonds will implement a life event based customer contact management to enable groups of related services, including Highways, likely to be required by a type of customer associated with a type of event to be delivered through a single point of contact enabling end-to-end support for all of those needs for key groupings in line with Customer Access Strategy (CS&amp;E SIDP p22).</p> <p>This will impact positively on all groups with protected characteristics.</p> <p>All the above will provide more and better options for customers and stakeholders to access the service, including real-time information. This will mean a more efficient service, and give the council a better understanding of its customers.</p>	<p>High</p>	<p>High</p>	<p>(NSCSO).</p> <p>Client Team to devise methodology and subsequent monitoring.</p>	<p>Council</p>	<p>Within 3 months of commencement and ongoing thereafter.</p>
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<b>Insight Engine and Customer Profiling</b>	<p>Positive</p> <p>Capita Symonds will develop Stakeholder Management Plan (SMP) which will involve comprehensive review of all Barnet Stakeholders, including developers and other authorities, such as Transport for London, to identify their specific needs for service and communications, including type of communications, format and frequency (T&amp;R SIDP p11, 50, 74).</p> <p>This will impact positively on all groups with protected characteristics.</p>	High	Medium	Client Team to monitor delivery and progress with SMP.	Council	Within 6 months of commencement and on-going thereafter.
	<p>Positive</p> <p>Capita Symonds will categorise stakeholders into eight groups to identify most appropriate engagement methods for each group thus ensuring all needs catered for, and quality control introduced (T&amp;R SIDP p51).</p> <p>This will impact positively on all groups with protected characteristics.</p>	High	High	Client Team to monitor and to ensure all sections of the community are captured within the proposed groupings.	Council	On commencement and on-going thereafter.
	<p>Positive</p> <p>Capita Symonds will introduce an 'Insight Function' which will allow tailored communications for different customers as well as the analysis, monitoring and reporting of equalities</p>	High	High	Client Team to monitor delivery and ensure intelligence gathered informs SIDPs, delivery of Regeneration schemes	Council	Within 12 months of commencement and on-going

	<p>data. This will also allow the proactive monitoring of the demographic profile of particular customer groups (T&amp;R SIDP p49; CS&amp;E p31).</p> <p>This will impact positively on all groups with protected characteristics.</p> <p>All the above will provide more and better options for customers and stakeholders to access the service, including real-time information. This will mean a more efficient service, and give the council a better understanding of its customers.</p>					thereafter.
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### 3. The experience of customers from groups with protected characteristics

#### Current situation

Similar to the findings in other Highways teams, based on the 2011 Residents' Perception Survey, the condition of roads and pavements is the top concern of some key portions of the population. Residents who are aged 25-34, 65+, white, Jewish and with a disability are more likely to indicate that conditions of roads and pavements is one of their top concerns. Residents who own their property out right and living in West Hendon, and Colindale, are more likely to say this is one of their top three concerns.

Personal concern for traffic, pollution and transport have all declined since 2004/05. Traffic in Barnet has been the largest cause for concern since 1995/96. In 2010/11 nearly twice as many residents were concerned about traffic than pollution, and over three times as many were concerned about transport.

The number of people concerned about litter or dirt on the streets has dropped by 9% since the 2007/08 survey and is at the lowest level of concern since data was available. The same percentages of people are concerned about Barnet's leisure centres at 10%, which is not significantly different from any figures seen since 2002/03.

21% of residents said that parking services in Barnet were good or excellent which is 9% lower than the London average and marks a 5% reduction on the response from residents recorded in 2007/08.

Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Access Strategy</b></p>	<p>Positive</p> <p>The Capita Symonds' proposals intend to enhance service provision and options for engagement/request for these services including improved information exchange which will avoid the need in some instance for requests for service.</p> <p>Capita Symonds proposals indicate that where contact is made or is necessary the engagement is proposed to be enhanced and more inclusive (CS&amp;E SIDP p22).</p> <p>For stakeholder management, Capita Symonds will ensure that communications are regular and appropriate for all stakeholders, including developers, with a clear understanding of progress on Regeneration schemes (T&amp;R SIDP p49).</p> <p>This will impact positively on all groups with protected characteristics.</p> <p>The above will provide more and better options for customers and</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor delivery and ensure SIDPs and funding priorities include provision for the proposed enhancements.</p>	<p>Council</p>	<p>Within 3 months of commencement and on-going thereafter.</p>

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	<p>stakeholders to access the service. This will mean a more efficient service, and give the council a better understanding of its customers and stakeholders.</p>					
<p><b>Customer Satisfaction</b></p>	<p>Positive            Capita Symonds commit to a Super KPI for monitoring customer satisfaction levels with a view to improving incremental improvements on customer satisfaction rates (Super KPI No. 5, Commitments Log).            Capita Symonds guarantees that customer satisfaction measures take account of equalities data (CS&amp;E SIDP p1).            Capita Symonds proposes to enhance customer satisfaction by asking service specific questions to identify service specific satisfaction levels.            This will impact positively on all groups with protected characteristics.</p> <p>Positive/Neutral            Capita Symonds commits to achieving improvements which result in 70%+ of users reporting (via surveys) that the changes implemented have been successful in making services more</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor and ensure that questions are tailored to be service relevant and that feedback received is analysed and positive changes are instigated via SIDPs.</p> <p>Client Team to monitor that the surveys are conducted and the outcomes lead to positive changes. Failure in this respect will result in the</p>	<p>Council</p> <p>Council</p>	<p>On commencement and monthly thereafter.</p> <p>Within day one of commencement and annually thereafter.</p>

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<p><b>Key Areas From Baseline</b></p>	<p>directly relevant to their needs (SKPI No. 5, Commitments Log)</p> <p>This will impact positively on all groups with protected characteristics, but there is a possibility that this may result in the c.30% of customers who do not think the services are more directly relevant to their needs.</p> <p>All the above will provide more and better information on customers and stakeholders for the council, and higher levels of customer satisfaction.</p>	<p>High</p>	<p>High</p>	<p>initiative having a negative impact.</p>	<p>Council</p>	<p>Within 12 months of commencement and annually thereafter.</p>
<p>Positive/Negative</p> <p>Capita Symonds' focus on understanding the baseline customer feedback is dependent on the residents' perception survey responses which are currently not sufficient in depth to fully evaluate service users' opinions and their concerns to action appropriately.</p> <p>This will positively impact on all groups with protected characteristics as the proposals, in being formulated to be output and service relevant, will provide greater intelligence on particular service users' needs and concerns, including understanding of why certain locations, religious groups or ages have particular concerns enabling a tailored response to the community.</p>	<p>High</p>	<p>High</p>	<p>Client Team to monitor that the surveys are conducted and the outcomes lead to positive changes. Failure in this respect will result in the initiative having a negative impact.</p>			

	<p>This should have a positive impact on all sectors of the community including the protected characteristic groups provided that the methods used and access provided to allow feedback caters for the needs of all sectors of the community. However, this could also become negative if service users who participate do not see that their views are being taken on board and lead to improvements.</p>				
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#### 4. The existing arrangements for monitoring and promoting equality and diversity

##### Current situation

The Highways service strives to promote equality through the following means:

- Analysis and response to findings to surveys such as The Residents' Perception Survey (RPS). In 2011, the team along with each directorate was required to produce a response and action plan based on the RPS findings.
- Carrying out an EIA is a requirement for any budget, project, policy or service change within the directorate. EIAs test the impact of such changes on the protected characteristics. Support and monitoring of this activity is facilitated by the Strategy and Performance function.
- Regular reviews and analysis of complaints logged in CRM to identify equalities related issues that need to be addressed.
- Events with specific communities when and where relevant to discuss issues such as regeneration schemes or major planning applications.
- Subscription to external survey monitoring such as the National Highways and Public Transport Satisfaction Survey with results localised to borough level.

## Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Residents Perception</b>	<p>Positive</p> <p>The Capita Symonds proposals will collectively supersede and improve on the current methodology of data gathering and the introduction of SKPI No. 5 is intended to improve customer perception in relation to service improvements.</p> <p>The above will give the council a better understanding of its customers' perceptions and improve performance and service efficiency by allowing resources to be directed to particular areas to improve perceptions.</p> <p>This will impact all groups with protected characteristics.</p>	High	High	Client Team to monitor that the surveys are conducted and the outcomes lead to positive changes. Failure in this respect will result in the initiative having a negative impact.	Council	On commencement and monthly thereafter.
<b>EIA</b>	<p>Neutral</p> <p>The proposals indicate compliance with the council's EIA requirements but lack detail in how this would proactively be achieved (CS&amp;E SIDP p31).</p>	High	High	Client Team to monitor and delivery will lead to positive impact.	Council	On commencement and on-going.
<b>Complaints</b>	<p>Positive</p> <p>The proposed Capita Symonds processes and systems designed to</p>	High	High	Client Team to monitor and delivery will lead to positive	Council	Within 9 months and annually

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	analyse complaints and advice on requirements for action will inform future SIDPs and result in greater degree of satisfaction (CS&E SIDP p14). This will impact all groups with protected characteristics.				impact.		thereafter.
<b>Event Specific</b>	Neutral for all groups Capita Symonds has committed to delivery of output specifications which allows for such consultation which is determined through agreement with the council as part of its agreed work programme. The recommendations that ensue from any such engagement will automatically include demographic analysis.	Medium	Medium	Client Team to ensure that consultation takes place as required to satisfy the PSED and will monitor implementation and consideration of matters raised during the consultation process.	Council	On commencement subject to agreed work programme and on-going.	
<b>Benchmarking</b>	Positive There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision	High	Medium	Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception. Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.	Council	Within 3 months and on-going thereafter.	



**5. Existing known equalities issues in the service**

**Current situation**

Three issues are identified as follows:

- In highways a specific and deliberate programme of regular engagement and interaction with the customer base for feedback was designed but not implemented. This would provide that essential intelligence required to shape and deliver services in a responsive manner to different sections of the community.
- A staff residents' panel was set up by the Strategy and Performance function aimed at tapping into local community issues and perceptions of the service via staff resident in the borough. This needs to be resurrected to ensure intelligence is utilised to improve our service and respond to customers.
- There are a number of schemes within Barnet Regeneration Schemes, particularly BXC, where particular user groups, such as young people, the elderly and disabled people will positively benefit. These include improvements to public transport facilities and services, such as step-free access improvements and new bus services and passenger facilities, some of the key elements of which are the responsibility of LB Barnet to deliver, and which are outside the current expertise of the service. The council is requiring Capita Symonds to assist in providing such expertise, as set out in the output specification.

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Customer Satisfaction and service specific engagement</b></p>	<p>Positive Capita Symonds' proposal with regard to regular engagement and interaction with the customer (CS&amp;E SIDP). This will ensure that regular customer feedback is received to help inform future service design. This will impact all groups with protected characteristics.</p>	<p>High</p>	<p>High</p>	<p>Client team to monitor and participate.</p>	<p>Council</p>	<p>Within 6 months and on-going thereafter.</p>

<p><b>Public transport improvements at BXC</b></p>	<p>Positive Capita Symonds have committed to help deliver these key public transport improvement elements of the BXC Regeneration Scheme (T&amp;R SIDP p10, 19). This impacts all groups with protected characteristics who use public transport.</p>	<p>High</p>	<p>High</p>	<p>Client team to oversee and direct overall Regeneration Scheme.</p>	<p>Capita Symonds</p>	<p>On-going from day 1 for life of the contract (or until BXC is fully implemented).</p>
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## Equalities Impact Assessment of Capita Symonds’ Final Tender on Hendon Cemetery and Crematorium

### 1. Introduction Current Situation

Hendon Cemetery and Crematorium (HCC) is the only council-owned facility of its type within the borough. The grounds comprise some 40 acres of well-tended gardens. The cemetery is multi-denominational, and part of the site is leased to the Greek Orthodox Church for burials. There is only potential for another 6 years burial income, although the council could implement a policy to reclaim graves in the future. The council has awarded a contract for the replacement of the current cremators and installation of mercury abatement equipment as required by statute. The primary functions for the service are as follows:

- Management and operation of Hendon Cemetery and Crematorium services.
- Burial services.
- Cremation services.
- Purchase and resale of funeral related items.
- Cemetery grounds maintenance.
- Memorial management.

### Summary of the Final Tender

Capita Symonds' solution for Hendon Cemetery and Crematorium includes the following features:

- Commitment that all work will be completed on-site and this includes the storage of all machinery and equipment which will continue to enable maximised service flexibility and responsiveness to customer requests and needs.
- Assurance that the existing service team structure will remain unchanged from the current establishment providing continuity of service in the short term to medium term of the contract.
- Investment in the infrastructure, facilities, the built environment and in technology and these will be the main enablers to service improvement and efficiency and should ensure compliance of all relevant legislation and council policies.
- Introduction of BACAS (Burial and Cremation Administration System) into the bereavement service office, which will improve administration, customer responsiveness, reporting and service level/business monitoring.
- Undertaking customer and stakeholder consultation which will support business development and service improvements by assisting in the identification of customer feedback.
- Commitment of £30,000 to pursue 'benchmarking' activities and 'milestones' to achieve ISO 9001, Green Flag and Gold Standard for Charter for the bereaved which guarantees bereavement related customer rights.
- Commitment to developing online services and systems such as live streaming of the funeral/chapel service and remotely viewing the book of remembrance, which will provide options other than personal attendance.

### A summary of the impact on groups with protected characteristics

- Age – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Disability – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Gender reassignment – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Marital status – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Pregnancy and maternity (including teenage parents) – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Race – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Religion or belief – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Sex – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Sexual orientation – There is unlikely to be any impact on sub-groups of this protected characteristic.

The council and Capita Symonds will continue to review the Equality impacts on HCC Services on an on-going basis.

## 2. The diversity profile of the service's customers (people from groups with protected characteristics)

### Current situation

No formal surveys have been conducted specifically for Hendon Cemetery and Crematorium in recent years. In addition, all management and office functions are paper-based and this is not conducive to information gathering or processing. A survey in early 2013 has been carried out with the intention of identifying feedback on current service provision from funeral directors and from other service users (the bereaved), the results of which are currently being collated.

However, as a result of feedback from comments and the low level of complaints received in the bereavement service office, Hendon Cemetery & Crematorium provides a good standard of service delivery. However the types of service offered are limited and often require work to be outsourced to a third party provider such as a memorial stone mason or funeral director, rather than provided in-house.

### Changes relating to customer information

	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
Single customer view, 'insight' engine and customer profiling.	Positive Capita Symonds intends to complete regular surveys of users of the service including visitors and set-up a 'User Forum' and a 'Friends Group'. This will ensure citizen, funeral director and customer views are taken into consideration when making strategic decisions. This will have a positive impact on all groups with protected characteristics.	High	Medium	Ensure there is a clear plan to implement surveys, including how often and how information will be used, decisions made, by whom and how action will be implemented with milestones of success criteria.	Capita Symonds	Prior to contract go live

### 3. The experience of customers from groups with protected characteristics

#### Current situation

No formal surveys have been conducted specifically for Hendon Cemetery and Crematorium in recent years, and the borough-wide demographic data is relevant given the universal nature of the service offered. A survey in early 2013 has been carried out with the intention of identifying feedback on current service provision from funeral directors and from other service users (the bereaved), the results of which are currently being collated.

Anecdotally, from feedback, comments and low levels of complaints received in the bereavement service office, Hendon Cemetery & Crematorium provides a good standard of service delivery. However, the types of services offered are limited and often require work to be outsourced to a third-party provider such as a memorial stone mason or funeral director.

Comments are received from third parties such as funeral directors and the clergy and this feedback is used to design future service provision, therefore meeting their needs as key stakeholders and that of the bereaved as our primary stakeholder.

#### Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
Access strategy	Positive Capita Symonds will develop internet/web based technology to improve access to services and improve convenience for our stakeholders including the bereaved, customers and funeral directors. This will ensure citizen, funeral director and customer views are taken into consideration when making strategic decisions.	High	Low	Capita Symonds to maintain existing mediums of communication with the council and ensure EIA reviews prior to any changes.	Capita Symonds	From month one and on-going thereafter.

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<p><b>Customer Satisfaction</b></p>	<p>This will have a positive impact on all groups with protected characteristics.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p> <p>Positive</p> <p>Capita Symonds have committed to investing in improving facilities to ensure they comply with all relevant legislation.</p> <p>This will ensure that citizens and customers will have access to standard facilities as required by legislation.</p> <p>This will have a positive impact on all groups with protected characteristics, particularly for those with disabilities.</p>	<p>High</p>	<p>Medium</p>	<p>Capita Symonds to invest in the facilities within the first three years of the contract.</p>	<p>Capita Symonds and Council Commissioning Group.</p>	<p>Within the first three years of the contract.</p>
	<p>Positive</p> <p>The service provider intends to complete regular surveys of users of the service including visitors and set up a 'User Forum' and a 'Friends Group'.</p> <p>This will ensure citizen, funeral director</p>	<p>High</p>	<p>Medium</p>	<p>Ensure there is a clear plan to implement surveys and how information will be used, decisions made and by whom and how</p>	<p>Capita Symonds and Council Commissioning Group.</p>	<p>Prior to contract go live.</p>

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<p><b>Service Improvements</b></p>	<p>and customer satisfaction levels are taken in to consideration when making strategic decisions. This will have a positive impact on all groups with protected characteristics.</p> <p>Positive Capita Symonds will invest in an electronic management system such as BACAS (Burial and Cremation Administration System) within the bereavement service office. This will speed up response times to customer enquiries by reducing the need for visitors to attend the office in person as information can be provided more rapidly using the telephone or website. The system will also increase business and service efficiency. This will have a positive impact on all groups with protected characteristics.</p>	<p>High</p>	<p>High</p>	<p>action will be implemented with milestones of success criteria.</p> <p>None</p>	<p>Within twelve months of contract commencement.</p>
<p><b>Funeral provision for religious / faith groups</b></p>	<p>Positive Capita Symonds will ensure that arrangements are in place for close communication with funeral directors and clergy so that all aspects of the funeral service can proceed smoothly, in line with customer expectation and in a dignified manner. This will ensure citizen, funeral director</p>	<p>High</p>	<p>Medium</p>	<p>None</p>	<p>From month one and on-going thereafter.</p>



	<p>and religious customs are taken in to consideration when making strategic decisions concerning funeral provision.</p> <p>This will have a positive impact on all groups with protected characteristics, notably across different faith and ethnic groups.</p>				
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#### 4. The existing arrangements for monitoring and promoting equality and diversity

##### Current situation

Hendon Cemetery and Crematorium (HCC) provides funeral related services to all sections of the community as a paid for service. In addition to a multi-denominational grave area, Hendon provides a specific section of the cemetery for Muslim burials, which is set out to their own specific requirements; in particular, all graves are prepared facing South East (towards Mecca), the grave is prepared at very short notice and to a single grave depth. Hendon also has two sections designated for Greek Orthodox burials and a separate section for Japanese residents.

Furthermore, all chapels are non-secular permitting temporary religious symbols to be placed in each chapel and then removed if necessary after the funeral. Finally, chapels can be booked to support cultural custom and practices such as viewing and washing of the body pre-cremation, witnessing of the charging of the coffin (placing into the cremator), and back-filling of the grave (witness burial).

HCC team members are also required to be flexible in meeting the needs of the bereaved and to support the funeral director in all funeral related matters and this includes preparing chapels and grave areas to meet religious or cultural needs.

Carrying out an EIA is a requirement for any budget, project, policy or service change within the directorate. EIAs test the impact of such changes on the protected characteristics. Support and monitoring of this activity is facilitated by the Strategy and Performance function.



Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Training and Policy</b>	<p>Positive</p> <p>Capita Symonds state that all staff will have an individual training and development plan and health and safety and equalities training will be provided.</p> <p>This will improve staff and service understanding of their responsibilities in these areas and improve the customer experience.</p> <p>This will have a positive impact on all groups with protected characteristics.</p>	High	Low	Capita Symonds should review this in respect of bereavement services and accredited training provided by the Institute of Cemetery and Crematorium Management (ICCM).	Capita Symonds	Within 12 month of commencement of contract.
<b>Community Groups</b>	<p>Positive</p> <p>Capita Symonds has undertaken to set up a Friends of Hendon Cemetery Group and will consult with conservation, historical and heritage groups to conserve and enhance the facility and landscape, and to manage the natural wildlife and fauna, ensuring Hendon remains a central feature of the community.</p> <p>This will ensure that citizens will have input in to strategic plans and ensure Hendon Cemetery and Crematorium continue to be and be seen to be a</p>	High	Medium	Capita Symonds to consult with relevant groups, stakeholders and council officers to ensure effective consultation takes place.	Capita Symonds and Council Commissioning Group.	From month one and ongoing thereafter.

<p><b>Benchmarking</b></p>	<p>valuable community resource, protecting the environment and linking with wider Council objectives. This will have a positive impact on all groups with protected characteristics.</p>	<p>High</p>	<p>Medium</p>	<p>Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception.</p> <p>Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.</p>	<p>Council</p>	<p>Within 3 months and on-going thereafter.</p>
	<p>Positive There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision</p>	<p>High</p>	<p>Medium</p>	<p>Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception.</p> <p>Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.</p>	<p>Council</p>	<p>Within 3 months and on-going thereafter.</p>

**5. Existing known equalities issues in the service**

**Current situation**

The main equality issues include access to the bereavement service office as this currently requires step access. Large print and brail print literature for those with visual impairment and this includes hymn books in chapel. Although toilet facilities for wheel chair access are provided at the cemetery and crematorium chapels, due to their limited number (two public toilets only) toilet facilities are insufficient for the large numbers of users and this includes public toilets located at the main bereavement service office. Also, enhanced listening facilities for the hard of hearing needs to be improved as does staff training and awareness in the bereavement office and at the chapel.

In the future, it would also be beneficial to address the following:

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- Permanent religious or cultural memorials to respect those sections of the community e.g. Lord Shiva for Hindu funerals.
- Burial and cremation plots for younger members of society such as children's graves.
- Although the council employs the service of a translation service, this is not widely known about and could be promoted including training provided where necessary.
- Training on equalities, customer service, and religious & cultural practices of various religions.

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Physical Access to Bereavement Service Office</b>	<p>Positive</p> <p>Capita Symonds has committed to developing facilities to meet DDA requirements.</p> <p>This means that the Hendon Cemetery and Crematorium facility will be able to be accessed by all members of society without restriction.</p> <p>This will have a positive impact on all groups with protected characteristics.</p>	High	Medium	Capita Symonds to liaise with Council Commissioning Group to ensure EIA review prior to any changes.	Capita Symonds and Council Commissioning Group	From month one and ongoing thereafter.
<b>Printed Documentation</b>	<p>Neutral</p> <p>Capita Symonds has not provided any comment on introducing printed text to meet the needs of the visually impaired such as hymn books, leaflets and brochures.</p> <p>This means that not all citizens or customers are able to have access to information contained in written</p>	Low	Medium	Council Commissioning Group to highlight to Capita Symonds the need for a resolution.	Capita Symonds and the Council Commissioning Group	Prior to contract go live

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<p><b>Public Toilets</b></p>	<p>documentation. This will have a neutral impact on all groups with protected characteristics as not all needs are currently met.</p>	<p>Low</p>	<p>Low</p>	<p>Council Commissioning Group to highlight to Capita Symonds the need for a resolution.</p>	<p>Capita Symonds and the Council Commission Group</p>	<p>Prior to contract go live.</p>
<p><b>Facilities for the Hard of Hearing</b></p>	<p>Neutral Although Capita Symonds have committed to investment in developing facilities to improve the customer experience, no formal statement has been provided to improve upon the limited number or location of toilets. This means that at times of high demand, facilities will be insufficient in number to meet needs. This will have a neutral impact on all groups with protected characteristics as not all needs are currently met.</p>	<p>Low</p>	<p>Low</p>	<p>Council Commissioning Group to highlight to Capita Symonds the need for a resolution.</p>	<p>Capita Symonds and the Council Commission Group</p>	<p>Prior to contract go live.</p>

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<p><b>Diversity of Cemetery plots</b></p>	<p>This will have a neutral impact on all groups with protected characteristics as not all needs are currently met.</p>	<p>Low</p>	<p>Low</p>	<p>Council Commissioning Group to highlight to Capita Symonds the need for a resolution.</p>	<p>Capita Symonds and the Council Commission Group</p>	<p>Prior to contract go live</p>
<p><b>Language/ Translation services</b></p>	<p>Neutral Although Capita Symonds have made an aspirational declaration to develop a new natural/woodland burial site, they have not made any comment on other forms of grave types/memorialisation such as a children's burial section. This means that the bereaved will have reduced choice at Hendon as to the type and location of a final resting place. This will have a neutral impact on all groups with protected characteristics as not all needs are currently met.</p>	<p>Low</p>	<p>Low</p>	<p>Council Commissioning Group to highlight to Capita Symonds the need for a resolution.</p>	<p>Capita Symonds and the Council Commission Group</p>	<p>Prior to contract go live</p>

<p><b>Staff training on Diversity and Equality</b></p>	<p>not all needs are currently met.</p> <p>Positive Capita Symonds has committed to provide staff training on Equalities. This will improve staff and service understanding of their responsibilities in this area and improve the customer experience. This will have a positive impact on all groups with protected characteristics.</p>	<p>High</p>	<p>Medium</p>	<p>Capita Symonds should review this in respect of bereavement services and accredited training provided by the Institute of Cemetery and Crematorium Management (ICCM).</p>	<p>Capita Symonds</p>	<p>Within 12 month of commencement of contract and on-going.</p>
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## Equalities Impact Assessment of Capita Symonds’ Final Tender on Land Charges

### 1. Introduction

#### Current Situation

This function currently forms part of the Planning (Development Management) service. The Land Charges team receives search requests either by post or electronically via National Land and Information Service (at a slightly discounted rate). The team undertake full (legal, land and property) searches or lighter personal searches which became far more prominent with the introduction of Home Information Packs (HIPs) together with commercial firms offering HIPs searches.

Since the recession and the abandonment of Home Information Packs the number of searches has dropped significantly for the team. Additionally, tighter EU regulation on the cost of searches may result in reduced income. There is also pressure from the private sector to be able to access land data free of charge. Performance is monitored through ‘turnaround time’, from receipt of a search request to completion of the request.

#### Summary of the Final Tender

The proposals in the bid from Capita Symonds will help the Land Charges team to fulfil its equalities duties to:

- Eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act.

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- Advance equality of opportunity by removing or minimising disadvantages experienced by people due to their protected characteristics, meeting the needs of particular groups and encouraging underrepresented groups to participate in public life and
  - Foster good relations between those sharing and those not sharing protected characteristics by tackling prejudice and promoting understanding.
- By:
- Investing in upgrading ICT, improving bandwidth, introducing a web-portal for customers to log in to in order to access Land Charges.
  - Conducting additional surveys to gather more customer feedback that will inform future service delivery models.
  - Providing an analytics function to enhance engagement with service users and tailoring of services to their needs and priorities.
  - Fully supporting the council's commitment to equality by ensuring staff deal with customers' needs accordingly; delivering services that reflect and respond to diverse population; flex service to cater for increases in diversity over the life of the service contract.
  - Make use of 'Insight' capability and system (a tool to record and analyse customer profile) to tailor communication channels for different audiences.
  - Investing in enhancing customer insight to tailor communication channels for different audiences.
  - Conducting demographic profiling at ward level.
  - Conducting specialist research, analysis and scenario planning, from Middlesex University.
  - Implementing an integrated social and demographic data and trend analysis which will be made available in a public facing GIS for provision of statistical information and demographic data (CES p30).

A summary of the impact on sub -groups with protected characteristics is presented below;

- Age – There is unlikely to be any impact.
- Disability – There is unlikely to be any impact.
- Gender reassignment – There is unlikely to be any impact.
- Marital status – There is unlikely to be any impact.
- Pregnancy and maternity – There is unlikely to be any impact.
- Race – There is unlikely to be any impact.



- Religion or belief – There is unlikely to be any impact.
- Sex – There is unlikely to be any impact.
- Sexual orientation – There is unlikely to be any impact.

The council and Capita Symonds will continue to review the Equality impacts on Land Charges Services on an on-going basis.

## 2. The diversity profile of the service’s customers (people from groups with protected characteristics)

### Current situation

The majority of search requests are made by solicitors on behalf of clients, and as such information on the diversity of customers is not collected at source. As the service is universally available to all residents, the service relies on borough wide information available through sources such as the census, which shows that the borough has become more diverse during the last decade as set out in the introduction to this document.

### Changes relating to customer information

	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Single customer view</b>	Positive Capita Symonds will tailor services to customer through analysis of data from consultations, surveys, complaints, transaction history and personal profiles via single view data.  This will help to ensure that customers will receive more bespoke services that meet their needs. If it is found some customers are from groups with protected characteristics, this will have	Medium	Medium	Ensure regular surveys, consultations, to draw out key recommendations to improve the service model.  Ensure compliance with Data Protection Act (e.g. informing customers how their data will be used).	Capita Symonds	Bi-annually.



	an impact. There is potential for a negative impact, as community engagement or surveys may not reach all groups, particularly those with disabilities, non-English speakers or parents.				Review to ensure representation of those with protected characteristics in surveys and events.	
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### 3. The experience of customers from groups with protected characteristics

#### Current situation

Results from the Local Land Charges Customer Satisfaction Survey (November 2012), showed that 57% of customers were 'very satisfied' with the service while 43% were 'fairly satisfied'.

#### Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Introduction of online search facility</b>	Positive Capita Symonds will allow customers to access the service online. This will enable customers who are not solicitors to have access to Land Charges data more easily This will have a positive impact on groups with protected characteristics who wish to use the service. The existing paper-based channel are to be	High	Medium	Ensure new service can be tailored to customers from groups with protected characteristics. Ensure provision on non-electronic service is maintained to allow accessibility from all customer groups.	Capita Symonds	From introduction of electronic search provision and ongoing through life of the contract.

<p><b>Life events</b></p>	<p>maintained for those customers who do not wish to transact in this way, and any future proposal to remove an access channel would be subject to an EIA prior to decision.</p> <p>This will potentially impact on all groups with protected characteristics.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	<p>High</p>	<p>High</p>	<p>Council's Commissioning Group to review and ensure changes are subject to an EIA.</p>	<p>Capita Symonds</p>	<p>Day 1 and ongoing.</p>
<p>Positive</p> <p>Capita Symonds has proposed to use life events approach to assist the customer, and likely to increase customer satisfaction</p> <ul style="list-style-type: none"> <li>• A customer seeking a land charge search for a business will be informed about licensing, training.</li> <li>• A customer making a planning application will be put in contact with Building Control, Street Naming and Numbering.</li> </ul> <p>This will benefit the end user based on the search requested which will have a positive impact on all groups with</p>	<p>High</p>	<p>High</p>	<p>Ensure regular surveys, consultations, to draw out key recommendations to improve the service model.</p> <p>Should consider particular needs of protected groups when designing the life events approach, to ensure life events relating to all groups are considered.</p>	<p>Capita Symonds</p>	<p>Day 1 and ongoing.</p>	

protected characteristics.				
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#### 4. The existing arrangements for monitoring and promoting equality and diversity

##### Current situation

Equalities issues for Land Charges are dealt with as part of the Council's general arrangements for meeting its equalities duties. This will include consideration of equalities issues as part of the council's budget and business planning process when fees and charges are set.

##### Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Training and policy</b>	<p>Positive</p> <p>Capita Symonds has committed to undertake formal equalities training of support staff.</p> <p>This will benefit staff and customers from all groups with protected characteristics because staff will be better equipped to adjust service provision to meet need.</p>	High	High	Ensure all staff, including those considered to be back office/contact centre staff are included in the training.	Capita Symonds	Day 1 and ongoing.
<b>Benchmarking</b>	<p>Positive</p> <p>There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision</p>	High	Medium	Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception.	Council	Within 3 months and on-going thereafter.

					Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.	
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**5. Existing known equalities issues in the service**

**Current situation**

Land Charges is a demand led service and all requests for searches are processed in the same way. Advice is available at the customer reception at Barnet House if required; nearly all users of the service are solicitors. Barnet House Reception and the customer services centres comply with the requirements of the relevant legislation including accessibility for people with visual and hearing impairments as well as physical disabilities. Telephone advice is provided by the Land Charges team.

The service currently has the following arrangements in place:

- There is a translation service available.
- All correspondence is on national forms that are available only from solicitors.
- All forms are legal documents and are worded appropriately.

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Maintaining accessibility when fully electronic</b>	Neutral Capita Symonds has proposed to maintain the non-electronic system and hence there is no impact. Members of the public, including those from protected groups may need support from the team when accessing information held by the service.	Medium	High	Consideration should be given to needs of protected groups when decisions are made regarding the location and structure of the team.	Capita Symonds	Day 1 and ongoing.

<p><b>Language barrier</b></p>	<p>Neutral Capita Symonds has not proposed anything beyond what is currently provided that will address the potential language barrier. No impact. Although purely solicitors request for searches, theoretically non-solicitors could request for searches to be done. If so, those customers who are not able to speak/understand English properly may experience difficulty in accessing the service.</p>	<p>Low</p>	<p>Low</p>	<p>If necessary employ translation services.</p>	<p>Capita Symonds</p>	<p>Day 1 and ongoing.</p>
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## Equalities Impact Assessment of Capita Symonds’ Final Tender on Building Control

### 1. Introduction

#### Current Situation

Building Control performs an important statutory surveying, enforcement and control function. Whilst the council competes with the private sector for some business, it fulfils the role of the default body, which is required to take on any and all work. The council’s Building Control fees are relatively high, but the service concentrates on good service rather than being reliant on lowest cost. Primary functions for the service are as follows:

- Administering the Building Regulations (Building Control).
- Dangerous Structure Inspections (including an out-of-hours service).
- Serving of Demolition Notices and associated site inspections.
- Street Naming and Numbering (including Fire Brigade and Royal Mail liaison).
- Structural design and advice for the council.

**Summary of the Final Tender**

- Capita Symonds will conduct additional surveys that will further help understand customer feedback and requirements which can inform future service delivery models.
- Capita Symonds will invest in upgrading ICT, improving bandwidth and introducing Submit-A-Plan which is the market leading software to enable online applications.
- Capita Symonds will provide an analytics function to enhance engagement with service users and tailoring of services to their needs and priorities.
- Capita Symonds will fully support the council's commitment to equality by ensuring staff deal with customers' needs accordingly; delivering services that reflect and respond to a diverse population; flex service to cater for increases in diversity over the life of the partnership.
- Capita Symonds will use insight capability (a tool to record and analyse customer profile) to tailor communication channels for different audiences.
- Capita Symonds will carry out demographic profiling at ward level.
- Capita Symonds will conduct specialist research, analysis and scenario planning, from Middlesex University.
- Capita Symonds will implement an integrated social and demographic data and trend analysis made available in a public facing GIS for provision of statistical information and demographic data.

A summary of the impact on groups with protected characteristics is presented below;

- Age – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Disability – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Gender reassignment – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Marital status – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Pregnancy and maternity – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Race – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Religion or belief – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Sex – There is unlikely to be any impact on sub-groups of this protected characteristic.
- Sexual orientation – There is unlikely to be any impact on sub-groups of this protected characteristic.

The council and Capita Symonds will continue to review the Equality impacts on Building Control Services on an on-going basis.

## 2. The diversity profile of the service’s customers (people from groups with protected characteristics)

### Current situation

A diversity profile of external customers has not been gathered routinely by the team due to complaints from customers surveyed in the past regarding equalities questions. This has led to customer satisfaction surveys being carried out without the inclusion of equalities questions. Customers of Building Control are primarily builders or architects; very rarely does an application come direct from the home owner. Therefore often the same builders/architects are surveyed again and again. The function of the service is close to universal so for the purposes of day-to-day decision making it assumes its customer composition, including the representation of groups with protected characteristics, reflects that of the borough as a whole (covered in the introduction to this document). The team provides a service to anyone who makes a building regulation application. If any works being monitored are solely for the use of a disabled person, confirmed by a ‘blue badge’, the service is offered at no charge.

### Changes relating to customer information

	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Single customer view</b></p>	<p>Positive Capita Symonds will be tailoring services to customers through analysis of data from consultations, surveys, complaints, transaction history and personal profiles via single view data. This will help to ensure that customers will receive a more bespoke service that meets their needs. This will impact all groups with protected characteristics</p>	<p>Medium</p>	<p>Medium</p>	<p>Ensure regular surveys, consultations particularly with those with protected characteristics to draw out key recommendations to improve the service model. Ensure compliance</p>	<p>Capita Symonds</p>	<p>Annually.</p>



	<p>assuming that those groups will be participating in the surveys.</p> <p>There is potential for a negative impact, as community engagement or surveys may not reach all groups, particularly those with disabilities, non-English speakers or parents.</p>			<p>with the Data Protection Act (e.g. informing customers how their data will be used).</p> <p>Review to ensure representation of those with protected characteristics in surveys and events.</p>		
<p><b>Single customer view</b></p>	<p>Positive</p> <p>Capita Symonds will profile level of complaints for BC activities against different population groups.</p> <p>This will potentially refine service communication and customer expectation to reduce cost of operating service and tailor service provision to meet customer requirement which will be a positive benefit to customers from all groups with protected characteristics.</p>	<p>Medium</p>	<p>Low</p>	<p>Ensure in targeting communications to reduce costs protected groups continue to be included.</p>	<p>Capita Symonds</p>	<p>Annually.</p>

**3. The experience of customers from groups with protected characteristics**

**Current situation**

Based on the 2011 Residents' Perception Survey, users are much more likely to rate the Planning and Building Control services as 'good to excellent' (45%) compared to all respondents (42%). However, users are also much more likely to say the service is 'average' or 'poor' to 'extremely poor' compared to all respondents with almost of all respondents (49%) saying they did not know.

Based on the Planning Customer Satisfaction Survey (October 2012), almost 86% were either 'very satisfied' or 'fairly satisfied' with the overall service that was received. However, 7% said that they were 'fairly dissatisfied' with the service.



Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Provision of online application facility</b>	<p>Positive</p> <p>Capita Symonds will introduce a submit-a-plan, which allows customers to make electronic applications.</p> <p>This will have a positive impact on all groups with protected characteristics who wish to use the service. The existing paper-based channel will be maintained for those customers who do not wish to transact in this way, and any future proposal to remove an access channel would be subject to an EIA prior to decision.</p> <p>This may potentially impact on all groups with protected characteristics.</p> <p>There is also potential for negative effects, requiring mitigation. These new services will benefit some residents and customers; however there are those with protected characteristics who may not benefit from this – including older adults who are unable to use IT, non-English speakers and those with disabilities.</p>	High	High	<p>Ensure new service can be tailored to customers from groups with protected characteristics.</p> <p>Ensure provision of non-electronic service is maintained to allow accessibility from all customer groups.</p> <p>Council's Commissioning Group to review and ensure changes are subject to an EIA.</p>	Capita Symonds	From introduction of submit-a-plan and ongoing.
<b>Life events</b>	<p>Positive</p> <p>Capita Symonds proposes to use life</p>	High	High	Ensure regular surveys and	Capita Symonds	Day 1 and ongoing.

	<p>events approach to assist the customer, likely to increase customer satisfaction. A customer seeking building control advice for a business will be informed about licensing, training.</p> <p>A customer making a building regulation application will be put in contact with Planning, Street Naming &amp; Numbering.</p> <p>This will have a positive impact on people from groups with protected characteristics as it will allow them to receive a more comprehensive service.</p>			<p>consultations to draw out key recommendations to improve the service model.</p> <p>Should consider particular needs to protected groups when designing the life events approach, to ensure life events relating to all groups are considered.</p>	
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#### 4. The existing arrangements for monitoring and promoting equality and diversity

##### Current situation

All business units in Planning and Building Control are demand led and applications are processed in the same way for all applicants. Advice on planning applications and Land Charge searches is provided at the customer reception at Barnet House. Barnet House reception and the customer services centres comply with the requirements of the relevant legislation including accessibility for people visual and hearing impairments as well as physical disabilities. Telephone advice is provided by all teams.

The service currently has the following arrangements in place:

- There is a translation service available but has never been used.
- All letter correspondence have been reviewed and revised to be more user friendly.
- All forms are legal documents and are worded appropriately.

Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Training and policy</b>	<p>Positive</p> <p>Capita Symonds have committed to undertake formal equalities training to support staff.</p> <p>This will benefit staff and customers from all groups with protected characteristics because staff will be better equipped to adjust service provision to meet need.</p>	High	High	<p>Ensure all staff, including those considered to be back office/contact centre staff are included in the training.</p>	Capita Symonds	Day 1 and ongoing.
<b>Benchmarking</b>	<p>Positive</p> <p>There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision</p>	High	Medium	<p>Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception.</p> <p>Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.</p>	Council	Within 3 months and on-going thereafter.

**5. Existing known equalities issues in the service**

**Current situation**

The main issue within Building Control is communications with builders on-site. The head builder/manager is normally able to communicate in English effectively. However, when the head builder/manager is not around, communicating with builders whose English tends to be a second language becomes an issue.

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<p><b>Language barrier on site</b></p>	<p>Neutral                      This issue relates to the ability of customers to access or understand the service and their obligations.                      Not referred to by Capita Symonds and so no solution offered other than complying with existing council policies                      This will affect all groups under the protected characteristics, but without consideration it will likely result in a negative impact on those for whom English is not a first (or spoken) language, most notably amongst the race group.</p>	<p>Medium</p>	<p>Low</p>	<p>Surveyors to continue to work in accordance with council policies.                      If enforcement action is to be taken employ a translator.                      Officers to continue to work following council policies.                      If Enforcement action is to be taken consider employing a translator (i.e. for interviews under caution).</p>	<p>Surveyors</p>	<p>Day 1 and ongoing.</p>

## Equalities Impact Assessment of Capita Symonds' Final Tender on DRS Regeneration

### 1. Introduction

#### Current Situation

The service works in partnership with developers to deliver the economic and social benefits of protection, enhancement and growth in the borough and is responsible for:

- The delivery and project management of regeneration priority estates (client-side management, not delivery); Brent Cross Cricklewood redevelopment and affordable housing.
- The enterprise and skills initiative (addressing poverty, unemployment) including the use of Section 106 contributions from developers.
- Developing partnerships with private developers for the development of new homes and Registered Social Landlords for the delivery and management of affordable housing schemes.

Primary functions of the service are as follows:

- The delivery and project management of regeneration priority estates.
- Partnerships with private developers for the delivery of new homes and management of affordable housing.
- Major Projects delivery on: Brent Cross Cricklewood, Grahame Park, West Hendon, Stonegrove Spur Road, Dollis Valley, Granville Road, Mill Hill East, Skills and Enterprise.
- Developing innovative approaches to regeneration and council funding.
- Working closely with the GLA in delivering affordable housing in accordance with the borough Investment Plan and requirements of the London Plan.
- To development partnerships with Housing Associations (Registered Providers) that own and manage properties in Barnet.
- Assess the performance of Registered Providers in the development and management of affordable homes working in partnership to address any shortcomings identified
- Establishment and management of Town Centre Business Forums in relation to the economic growth agenda, and acting as a contact point/gateway for business and enterprise.

### Summary of the Final Tender

The proposals in the bid will help the service to fulfil its equalities duties to:

- Eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act.
- Advance equality of opportunity by removing or minimising disadvantages experienced by people due to their protected characteristics, meeting the needs of particular groups and encouraging underrepresented groups to participate in public life and
- Foster good relations between those sharing and those not sharing protected characteristics by tackling prejudice and promoting understanding.

By:

- Providing new IT equipment and staff training.
- Compliance with the council's Equality policies in all their interactions with customers.
- Investment in an Insight function for different customer groups (but not individuals). This will provide extra data on types of customers, types of residents and customer groupings.
- Recognition and intent to support the growing diversity of the borough by using Insight Function to provide data about the changing nature of the borough over time.

A summary of the impact on sub-groups within each protected characteristics is presented below:

- Age – There is unlikely to be any impact.
- Disability – There is unlikely to be any impact.
- Gender reassignment – There is unlikely to be any impact.
- Marital status – There is unlikely to be any impact.
- Pregnancy and maternity (including teenage parents) – There is unlikely to be any impact.
- Race – There is unlikely to be any impact.
- Religion or belief – There is unlikely to be any impact.
- Sex and sexual orientation – There is unlikely to be any impact.

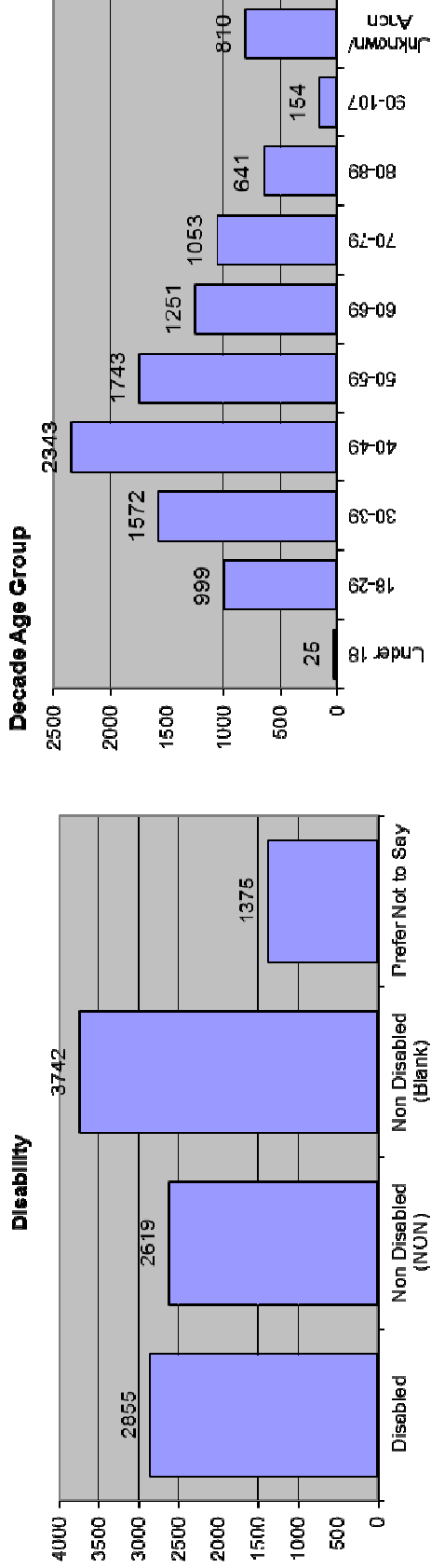
The council and Capita Symonds will continue to review the Equality impacts on DRS Services on an on-going basis.

**2. The diversity profile of the service’s customers (people from groups with protected characteristics)  
Current situation**

In total there are 2,296 tenants living on the regeneration priority estates, 46% of which are Black and Minority Ethnic (BME). A summary of the racial diversity profile of the tenants are described in the table below.

Major Ethnic Group (Alphabetical)	NON		NON		NON		NON	
	NON Regen Tenants Total (Nov12)	NON Regen Tenants Total % Known	NON Regen Tenants Total (Nov12)	NON Regen Tenants Total % Known	NON Regen Tenants Total (Nov12)	NON Regen Tenants Total % Known	NON Regen Tenants Total (Nov12)	NON Regen Tenants Total % Known
BME	2551	30.8%	1065	37.1%	2343	46.4%	2296	58.0%
NON BME	4323	52.1%	770	62.9%	1743	33.5%	1604	42.0%
Prefer Not to Say	647	7.8%	127	-	127	5.5%	-	-
Unknown/ Anon	773	9.3%	334	-	334	14.5%	-	-
<b>Grand Total</b>	<b>8294</b>	<b>100.0%</b>	<b>2296</b>	<b>100.0%</b>	<b>2296</b>	<b>100.0%</b>	<b>2296</b>	<b>100.0%</b>

The graphs below illustrate the summary of the disability profile of all council tenants as well as the age group breakdown.



Greater detail and breakdown of tenants using the protected characteristics can be found on the “All Barnet Homes Profile November 2012.”

**Changes relating to customer information**

	<b>Description of potential impact</b>	<b>Likelihood of impact</b>	<b>Degree of impact</b>	<b>Actions that need to be taken to mitigate negative/ensure positive impact</b>	<b>Action owner</b>	<b>Action deadline</b>
<b>Single Customer View</b>	Neutral / Positive Capita Symonds bid includes proposals to provide enhancements to the Single Customer View or customer profiling, by tailoring communications to customer groups, but not for individual customers. This will provide a better understanding of the customers that will help shape future service delivery. This will impact on all groups with protected characteristics.	Low	Low	Ensure that no group with protected characteristics will be discriminated against by moving closer towards a Single Customer View approach.	Client monitoring team	Ongoing.

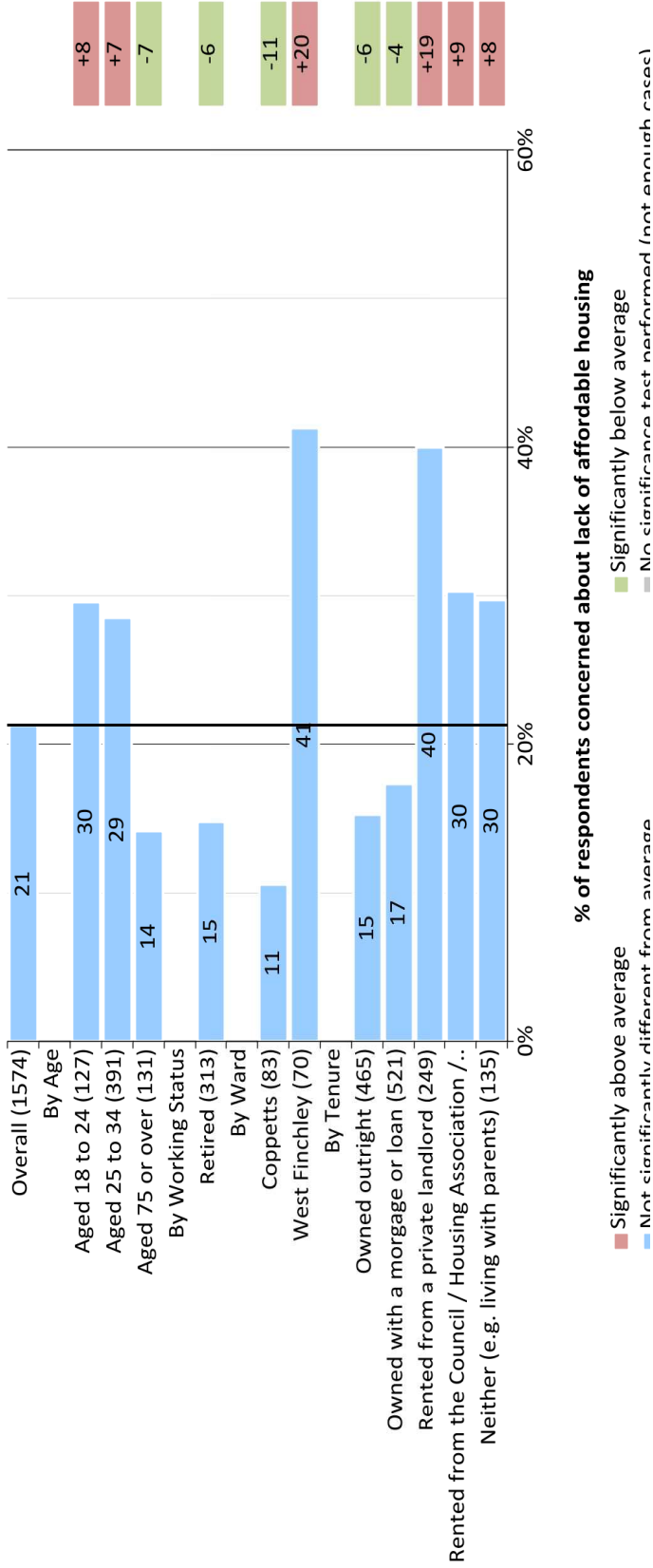
**3. The experience of customers from groups with protected characteristics**

**Current situation**

The 2012 residents survey showed an increase in the proportion of residents concerned about a lack of affordable housing from 18% in 2010/11 to 21%, although this is still below the London average of 26%. More detailed analysis shows that Residents who are aged 18-34, living in West Finchley, renting from a private landlord or in social housing are significantly more likely to say affordable housing is one of their top three concerns:



## Appendix 2 (ii)



Surveys of new tenants on the regeneration estates are routinely carried out by the RPs providing new homes. The results for Family Mosaic residents at Stonegrove Spur Road on survey showed that the overall satisfaction ratings were that 13% of residents were 'very satisfied', 50% were 'fairly satisfied', and 24% were 'fairly dissatisfied' (13% felt 'neither satisfied nor dissatisfied'). With regard to the general condition of the property, 45% of the residents were 'very satisfied', 48% were 'fairly satisfied', while 7% were 'neither satisfied nor dissatisfied'. In terms of value for money for the rent paid, 65% were either 'very satisfied' or 'fairly satisfied', while 7% were 'fairly dissatisfied' (28% were 'neither satisfied nor dissatisfied'). On the area of the way that Family Mosaic deals with repairs and maintenance, 43% were either 'very satisfied' or 'fairly satisfied'. However, slightly over a quarter (26%) indicated that they were 'fairly dissatisfied' or 'very dissatisfied'.

Specifically on Regeneration tenants, the customer satisfaction ratings by ethnicity are outlined in the table below:

Appendix 2 (ii)

RENT ZONE	Ethnicity	Very satisfied	Fairly Satisfied	Neither satisfied nor dissatisfied	Fairly dissatisfied	Very Dissatisfied	Total	% Satisfied	% Neither	% Dissatisfied
Regen	Afghan	1	2				3	100.0%	0.0%	0.0%
Regen	Asian Bangladeshi		2		1		3	66.7%	0.0%	33.3%
Regen	Asian Indian	1	4	3			8	62.5%	37.5%	0.0%
Regen	Asian Other	2	2	2	1		7	57.1%	28.6%	14.3%
Regen	Asian Pakistani	1	1	1			3	66.7%	33.3%	0.0%
Regen	Black African	7	20	2	2	2	33	81.8%	6.1%	12.1%
Regen	Black Caribbean	2	3	2			7	71.4%	28.6%	0.0%
Regen	Black Other	3	7	7			17	58.8%	41.2%	0.0%
Regen	Chinese	1					1	100.0%	0.0%	0.0%
Regen	East European	1	2	2			5	60.0%	40.0%	0.0%
Regen	Iranian	1	3	1		1	6	66.7%	16.7%	16.7%
Regen	Mixed Other		1		1		2	50.0%	0.0%	50.0%
Regen	Mixed White & Black African		1				1	100.0%	0.0%	0.0%
Regen	Mixed White & Black Caribbean		1	1			2	50.0%	50.0%	0.0%
Regen	Other	4	6	4	1		15	66.7%	26.7%	6.7%
Regen	Other European		2	1			3	66.7%	33.3%	0.0%
Regen	Somali	4	3				7	100.0%	0.0%	0.0%
Regen	Sri Lankan	1					1	100.0%	0.0%	0.0%
Regen	Turkish or Turkish Cypriot	3	2	2			7	71.4%	28.6%	0.0%
Regen	White			1			1	0.0%	100.0%	0.0%
Regen	White British	7	34	8	3	3	55	74.5%	14.5%	10.9%
Regen	White Cypriot	1					1	100.0%	0.0%	0.0%
Regen	White Irish	1	1	2			4	50.0%	50.0%	0.0%
Regen	White Other	3	7	1	4		15	66.7%	6.7%	26.7%
Regen	PNG / Ethnicity not given	12	34	7	6	7	66	69.7%	10.6%	19.7%
<b>Regen Total</b>		<b>56</b>	<b>138</b>	<b>47</b>	<b>19</b>	<b>13</b>	<b>273</b>	<b>71.1%</b>	<b>17.2%</b>	<b>11.7%</b>

Changes relating to customer experience

Key areas	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
Access Strategy and Customer Satisfaction	Neutral / Positive No specific proposals are made by Capita Symonds that are different to existing practices, apart from identifying the need to reach 'hard to reach' groups, but no detail is provided on how this will be done. This will provide a better understanding of the customers that will help shape future service delivery. This will impact on all groups with protected characteristics.	Low	Low	Capita to be required to define approach on how to reach 'hard to reach' groups.	Capita Symonds	Within 6 months.

**4. The existing arrangements for monitoring and promoting equality and diversity**

**Current situation**

Similar to that in Strategic Planning, the team currently conduct the following:

- Regular consultations include actions to reach all parts of community through for example using different formats e.
- g. estate event days, web surveys, citizen panel and focus groups.
- Equalities impact assessments are in place for our key strategies and policies, including housing strategy, LDF Core Strategy, housing allocations scheme, tenancy strategy.

## Appendix 2 (ii)

- Planning applications have to confirm that proposals do not conflict with either the council's Equalities Policy or the commitments set in the Equality Scheme and support the council in meeting its statutory equality responsibilities.

There would also be value in keeping up-to-date information on the housing needs of different groups as the housing needs survey is out of date and a housing register is no longer maintained (due to changes in the council's housing allocations scheme).

### Changes relating to monitoring and promotion of equality and diversity

Arrangements	Description of potential impact	Likelihood of impact	Degree of Impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
<b>Customer Satisfaction Regen KPI04</b>	Neutral / Positive Capita Symonds has committed to carrying out surveys, but no detail on whether the survey will collect equalities information across all customer groups. This will provide a better understanding of the customers that will help shape future service delivery. This will impact on all groups with protected characteristics.	Low	Medium	Capita Symonds propose annual surveys – need to submit draft surveys to council's Commissioner for Enterprise and Renewal for approval.	Capita Symonds	Annually or as required.
<b>Benchmarking</b>	Positive There are proposals for benchmarking with comparable organisations and available benchmarking information to compare and inform current and future service provision	High	Medium	Client team and Capita Symonds will review the results of benchmarking exercises to inform improvements in service provision and customer perception.	Council	Within 3 months and on-going thereafter.

				Capita Symonds will undertake an EIA as appropriate when certain changes are being considered and prior to their approval and implementation.		
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**5. Existing known equalities issues in the service**

**Current situation**

Similar to that in Strategic Planning, based on the Tenancy Strategy EIA (April 2012) the following are issues:

- Young people who are care givers may be less likely able to fulfil the requirements for tenancies to be renewed. This may put them at a more serious disadvantage than any other young person. Different criteria have been developed for care leavers to help mitigate.
- Income and capital thresholds could disadvantage some tenants. This will be monitored.
- Failure of communication with those tenants on flexible tenancies regarding expectations and timetables particularly where residents have poor literacy or where English is not their first language. Barnet Homes has developed a communications strategy, including information on the website.
- Failure to maximise use of social housing through planned use of flexible tenancies would be likely to disadvantage all applicants. Making better use of social housing stock will advantage those on low incomes and benefits.

Based on the Allocations Scheme EIA (February 2012), it was identified that some groups may be adversely affected by the introduction of the local connection criteria. The initial data analysis shows from the current bands that some groups are more likely to fail the local connection criteria and not be considered for assistance under the allocations scheme. These equalities risks are being monitored and mitigating actions being developed.

The policies in the Core Strategy EIA (2011) seek to ensure that all new homes are built to Lifetime Homes Standards and that through extending the inclusive design principles embedded in Lifetime Homes we can create Lifetime Neighbourhoods that are welcoming, accessible, and inviting for everyone, regardless of age, or health, or disability.



Appendix 2 (ii)

Issues	Description of potential impact	Likelihood of impact	Degree of impact	Actions that need to be taken to mitigate negative/ensure positive impact	Action owner	Action deadline
Lifetime Homes	<p>Neutral</p> <p>Capita Symonds will enforce the use of Lifetimes Homes Standards. This should mean that all new homes delivered will be suitable for elderly, infirm and disabled people to remain in their own homes for longer. Failure to create inclusive neighbourhoods could impact on the elderly. Capita Symonds also recognises negative issues of concentrating elderly people in one area.</p> <p>This should ensure that the quality of life for elderly people is improved. Lifetime Homes is a common standard that is obligatory in all new developments in London and Barnet.</p>	Low	High	Capita Symonds will rigorously enforce planning conditions and share good practice on Lifetime Homes.	Capita Symonds	From day one and then on an on-going basis.
Housing Allocations Scheme	<p>Positive</p> <p>Improved customer insight and analysis will ensure that customer feedback and intelligence is taken on board and is reflected in the Housing Allocations Scheme.</p> <p>This proposal will impact on all groups (residents) with protected characteristics.</p>	Medium	Medium	Regularly conduct customer engagement to help inform the Allocation Scheme. Need to monitor implementation of Allocations Scheme by Barnet Homes and its impact on highlighted sub-groups.	Capita Symonds	Annually.

## Methodology

The approach taken to develop this EIA is described in the steps below:

1. The NSCSO EIA, which was signed off by Cabinet, was utilised as the template for the development of this DRS EIA.
2. The original EIA questionnaire utilised to gather data from services was updated based on the lessons learned from the NSCSO EIA exercise. The updated version was then used to gather data from the DRS services.
3. The DRS Heads of Service were briefed on the objective and requirements of the EIA. They were also requested to appoint one person from their team to help with data gathering (referred to as champions).
4. The data questionnaire template was sent to each of the champions for them to gather data on.
5. Clarifications were made with the champions/Heads of Service as necessary.
6. Data was also gathered from the Insight team on the latest population profile within the council as well as results from the council-wide customer satisfaction surveys.
7. All the data were then processed and the baseline EIA was drafted.
8. The Heads of Services then assessed the proposals as to their potential impact on the way services are being delivered to their diverse customer profile as described in the baseline; with a final review from Assistant Directors.

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**Dated 15 May 2013**

## **London Borough of Barnet**

Legislation relating to the DRS project

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## 1 Background

- 1.1 The following domestic primary legislation has been identified as relevant to the delivery of the development and regulatory services (DRS) and is included in the DRS output specifications and the DRS Partnering Agreement. This legislation is in force (as amended from time to time) as at 15 May 2013. Part 2 of this document contains a list of EU directives and statutory instruments as extant (as amended from time to time) on 15 May 2013 applicable either to the relevant functions included in the DRS output specifications or the DRS Partnering Agreement and shall be deemed to include any amendments. Both lists will need further review prior to contract signature to ensure the legislation listed is still in force. This list supersedes and replaces any earlier lists and given the nature of the services is not exhaustive and is provided purely for the purposes of the report to Cabinet and as such Trowers & Hamlins cannot accept any responsibility to any party other than the London Borough of Barnet for its accuracy or completeness.

## 2 Transport and Regeneration Output Specification

- 2.1 the Equality Act 2010
- 2.2 the Freedom of Information Act 2000
- 2.3 the Highways Act 1980
- 2.4 the Town and Country Planning Act 1990

## 3 Regeneration Output Specification

- 3.1 the Equality Act 2010
- 3.2 the Highways Act 1980
- 3.3 the Housing Act 1996
- 3.4 the Land Compensation Act 1973
- 3.5 the Landlord and Tenant Act 1954
- 3.6 the Local Government Act 1972
- 3.7 the Town and Country Planning Act 1990

## 4 Strategic Planning Output Specification

- 4.1 the Equality Act 2010
- 4.2 the Localism Act 2011
- 4.3 the Planning and Compulsory Purchase Act 2004
- 4.4 the Planning (Listed Buildings and Conservation Areas) Act 1990
- 4.5 the Planning Act 2008
- 4.6 the Special Educational Needs and Disability Act 2001

4.7 the Town and Country Planning Act 1990

**5 Hendon Cemetery and Crematorium Output Specification**

5.1 the Births and Deaths Registration Act 1953

5.2 the Burial Act 1857

5.3 the Data Protection Act 1998

5.4 the Disability Discrimination Act 1995

5.5 the Environmental Protection Act 1990

5.6 the Equality Act 2010

5.7 the Greater London Council (General Powers) Act 1976

5.8 the Health and Safety at Work etc. Act 1974

5.9 the London Local Authorities Act 2007

5.10 the Occupiers' Liability Act 1957

5.11 the Public Health (Control of Disease) Act 1984

**6 Traffic and Development and Highways Strategy Output Specification**

6.1 the Countryside and Rights of Way Act 2000

6.2 the Data Protection Act 1998

6.3 the Disability Discrimination Act 2005

6.4 the Education and Inspections Act 2006

6.5 the Equality Act 2010

6.6 the Freedom of Information Act 2000

6.7 the Greater London Authority Act 1999

6.8 the Health and Safety at Work etc. Act 1974

6.9 the Highways Act 1980

6.10 the London Local Authorities Act 1995

6.11 the New Roads and Street Works Act 1991

6.12 the Rights of Way Act 1990

- 6.13 the Road Traffic Act 1988
- 6.14 the Road Traffic Act 1991
- 6.15 the Road Traffic Regulation Act 1984
- 6.16 the Town and Country Planning Act 1990
- 6.17 the Traffic Management Act 2004
- 6.18 the Transport Act 2000
- 6.19 the Wildlife and Countryside Act 1981
- 7 Land Charges Output Specification**
- 7.1 the Competition Act 1998
- 7.2 the Equality Act 2010
- 7.3 the Local Land Charges Act 1975
- 8 Building Control Output Specification**
- 8.1 the Building Act 1984
- 8.2 the Equality Act 2010
- 8.3 the Local Government Act 1985
- 8.4 the London Building Acts (Amendment) Act 1939
- 8.5 the London Government Act 1963
- 8.6 the Safety of Sports Grounds Act 1975
- 9 Trading Standards and Licensing Output Specification**
- 9.1 the Agriculture Act 1970
- 9.2 the Animal Health Act 1981
- 9.3 the Children and Young Persons (Protection from Tobacco) Act 1991
- 9.4 the Clean Air Act 1993
- 9.5 the Consumer Credit Act 1974
- 9.6 the Consumer Protections Act 1987
- 9.7 the Control of Pollution Act 1974
- 9.8 the Copyright, Designs and Patents Act 1988

- 9.9 the Copyright, etc. and Trade Marks (Offences and Enforcement) Act 2002
- 9.10 the Criminal Justice and Police Act 2001
- 9.11 the Development of Tourism Act 1969
- 9.12 the Education Reform Act 1988
- 9.13 the Energy Act 1976
- 9.14 the Equality Act 2010
- 9.15 the Estate Agents Act 1979
- 9.16 the European Communities Act 1972
- 9.17 the Gambling Act 2005
- 9.18 the Hallmarking Act 1973
- 9.19 the Health and Safety at Work etc Act 1974
- 9.20 the Hypnotism Act 1952
- 9.21 the Licensing Act 2003
- 9.22 the Local Government (Miscellaneous Provisions) Act 1982
- 9.23 the London Local Authorities Act 1990
- 9.24 the Medicines Act 1968
- 9.25 the Poisons Act 1972
- 9.26 the Policing and Crime Act 2009
- 9.27 the Prices Act 1974
- 9.28 the Property Misdescriptions Act 1991
- 9.29 the Protection of Children (Tobacco) Act 1986
- 9.30 the Safety of Sports Grounds Act 1975
- 9.31 the Scrap Metal Dealers Act 1964<sup>1</sup>
- 9.32 the Trade Marks Act 1994
- 9.33 the Video Recordings Act 1984 and 1993
- 9.34 the Weights and Measures Act 1985

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<sup>1</sup> Whole act to be repealed by Scrap Metal Dealers Act 2013 c. 10 s. 19(1)(a) – Not yet in force - Date to be appointed.

- 10        **Planning and Development Management Output Specification**
- 10.1      the Anti-Social Behaviour Act 2003
- 10.2      the Commons Act 2006
- 10.3      the Commons Registration Act 1965<sup>2</sup>
- 10.4      the Communications Act 2003
- 10.5      the Disability Discrimination Act 1995
- 10.6      the Equality Act 2010
- 10.7      the Freedom of Information Act 2000
- 10.8      the Local Government Act 2003
- 10.9      the Localism Act 2011
- 10.10     the Planning (Listed Buildings and Conservation Areas) Act 1990
- 10.11     the Planning and Compulsory Purchase Act 2004
- 10.12     the Police and Criminal Evidence Act 1984
- 10.13     the Proceeds of Crime Act 2002
- 10.14     the Town and Country Planning Act 1990
- 11        **Highways Network Management Output Specification**
- 11.1      the Data Protection Act 1998
- 11.2      the Disability Discrimination Act 2005
- 11.3      the Education and Inspections Act 2006
- 11.4      the Equality Act 2010
- 11.5      the Flood and Water Management Act 2010
- 11.6      the Freedom of Information Act 2000
- 11.7      the Greater London Authority Act 1999
- 11.8      the Health and Safety at Work etc. Act 1974
- 11.9      the Highways Act 1980
- 11.10     the Human Rights Act 1998

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<sup>2</sup> Whole act to be repealed by Commons Act 2006 c. 26 Sch. 6(1) para. 1 – Not yet in force - Date to be appointed.

- 11.11 the Land Drainage Act 1991
- 11.12 the London Local Authorities Acts (various)
  - 11.12.1 the London Local Authorities Act 2012
  - 11.12.2 the London Local Authorities Act 2007
  - 11.12.3 the London Local Authorities Act 2004
  - 11.12.4 the London Local Authorities Act 2000
  - 11.12.5 the London Local Authorities Act 1996
  - 11.12.6 the London Local Authorities Act 1995
  - 11.12.7 the London Local Authorities Act 1994
  - 11.12.8 the London Local Authorities Act 1991
  - 11.12.9 the London Local Authorities Act 1990
- 11.13 the New Road and Street Works Act 1991
- 11.14 the Race Relations (Amendment) Act 2000
- 11.15 the Rights of Way Act 1990
- 11.16 the Road Traffic Act 1988
- 11.17 the Road Traffic Act 1991
- 11.18 the Road Traffic Regulation Act 1984
- 11.19 the Town and Country Planning Act 1990
- 11.20 the Traffic Management Act 2004
- 11.21 the Transport Act 2000
- 11.22 the Weed Act 1959
- 12 **Environmental Health Output Specification**
  - 12.1 the Animal Boarding Establishments Act 1963
  - 12.2 the Animal Health Act 1981
  - 12.3 the Animal Health Act 2002
  - 12.4 the Animal Welfare Act 2006
  - 12.5 the Anti-Social Behaviour Act 2003

- 12.6 the Breeding and Sale of Dogs (Welfare) Act 1999
- 12.7 the Breeding of Dogs Acts 1973 and 1991
- 12.8 the Building Act 1984
- 12.9 the Burial Act 1857
- 12.10 the Caravan Sites and Control of Development Act 1960
- 12.11 the Civil Contingencies Act 2004
- 12.12 the Clean Air Act 1993
- 12.13 the Clean Neighbourhoods and Environment Act 2005
- 12.14 the Control of Pollution Act 1974
- 12.15 the Crime and Disorder Act 1998
- 12.16 the Criminal Justice and Public Order Act 1994
- 12.17 the Dangerous Wild Animals Act 1976
- 12.18 the Data Protection Act 1998
- 12.19 the Dogs Act 1871
- 12.20 the Environment Act 1995
- 12.21 Natural Environment and Rural Communities Act 2006
- 12.22 the Environmental Protection Act 1990
- 12.23 the Equality Act 2010
- 12.24 the European Communities Act 1972
- 12.25 the Food Safety Act 1990
- 12.26 the Freedom of Information Act 2000
- 12.27 the Guard Dogs Act 1975
- 12.28 the Health & Safety at Work etc. Act 1974
- 12.29 the Health Act 2006
- 12.30 the Hendon Urban District Council Act 1929
- 12.31 the Highways Act 1980
- 12.32 the Housing Act 2004



- 12.33 the Housing Acts 1985 (as amended), 1988, 1996 and 2004
- 12.34 the Housing Grants, Construction and Regeneration Act 1996
- 12.35 the Licensing Act 2003
- 12.36 the Local Government (Miscellaneous Provisions) Act 1976 and 1982
- 12.37 the London Government Act 1963
- 12.38 the Local Government Act 1972
- 12.39 the Local Government Act 2000
- 12.40 the Local Government and Housing Act 1989
- 12.41 the London Local Authorities Act 1990
- 12.42 the London Local Authorities Act 1991
- 12.43 the National Assistance Act 1948
- 12.44 the Performing Animals (Regulation) Acts 1925
- 12.45 the Pet Animals Act 1951
- 12.46 the Pollution Prevention and Control Act 1999
- 12.47 the Prevention of Damage by Pests Act 1949
- 12.48 the Public Health (Control of Disease) Act 1984
- 12.49 the Public Health Acts 1936 and 1961
- 12.50 the Refuse Disposal (Amenity) Act 1978
- 12.51 the Regulatory Enforcement and Sanctions Act 2008
- 12.52 the Rehabilitation of Offenders Act 1974
- 12.53 the Riding Establishments Acts 1964 and 1970
- 12.54 the Sunbeds (Regulation) Act 2010
- 12.55 the Town and Country Planning Act 1990
- 12.56 the Water Industry Act 1991
- 12.57 the Zoo Licensing Act 1981
- 13 **General**
- 13.1 the Local Government Act 1972

- 13.2 the Local Government Act 1999
- 13.3 the Local Government Act 2000
- 13.4 the Local Government Act 2003
- 13.5 the Local Government and Public Involvement in Health Act 2007
- 13.6 the Localism Act 2011
- 14 **DRS Partnering Agreement**
- 14.1 the Audit Commission Act 1998
- 14.2 the Bribery Act 2012
- 14.3 the Civil Contingencies Act 2004
- 14.4 the Companies Act 2006
- 14.5 the Contracts (Rights of Third Parties) Act 1999
- 14.6 the Data Protection Act 1998
- 14.7 the Disability Discrimination Act 1995
- 14.8 the Education Reform Act 1988
- 14.9 the Employment Rights Act 1996
- 14.10 the Equality Act 2010
- 14.11 the European Communities Act 1972
- 14.12 the Finance Act 2004 (Part A)
- 14.13 the Financial Services and Markets Act 2000
- 14.14 the Freedom of Information Act 2000
- 14.15 the Interpretation Act 1978
- 14.16 the Local Government Act 1999
- 14.17 the Local Government Finance Act 1982
- 14.18 the Ministers of the Crown Act 1975
- 14.19 the Rehabilitation of Offenders Act 1974
- 14.20 the Safeguarding Vulnerable Groups Act 2006
- 14.21 the Superannuation Act 1972

**Part 2 – EU Directives and Statutory Instruments****1 Transport and Regeneration Output Specification**

- 1.1 Planning Inspectorate's Procedural Guidance: Planning appeals and called-in planning applications (PINS 01/2009)
- 1.2 Traffic Signs Regulations and General Directions 2002
- 1.3 Zebra, Pelican and Puffin Pedestrian Crossings Regulations and General Directions 1997

**2 Regeneration Output Specification**

- 2.1 Building Regulations 2010

**3 Strategic Planning Output Specification**

- 3.1 Community Infrastructure Levy Regulations 2010
- 3.2 Town and Country Planning (General Permitted Development) Order 1995
- 3.3 Ecclesiastical Exemption (Listed Buildings and Conservation Areas)(England) Order 2010
- 3.4 Community Infrastructure Levy Regulations 2010
- 3.5 European Directive 2001/42/EC (the 'Strategic Environmental Assessment Directive')
- 3.6 Articles 6(3) and 6(4) of European Directive 92/43/EEC on the protection of natural habitats (the 'Habitats Directive')

**4 Hendon Cemetery and Crematorium Output Specification**

- 4.1 Cremation (England and Wales) Regulations 2008
- 4.2 Local Authorities' Cemeteries Order 1977
- 4.3 Management of Health and Safety at Work Regulations 1999
- 4.4 Registration of Births and Deaths Regulations 1987
- 4.5 Environmental Permitting (England and Wales) Regulations 2010

**5 Traffic and Development and Highways Strategy Output Specification**

- 5.1 Construction (Design and Management) Regulations 2007
- 5.2 Zebra, Pelican and Puffin Pedestrian Crossings Regulations and General Directions 1997
- 5.3 Traffic Signs Regulations and General Directions 2002
- 5.4 Local Authorities' Traffic Orders (Procedure) (England and Wales) Regulations 1996
- 5.5 Road Traffic Act 1991 (Special Parking Areas) (England) Order 2003

**6 Land Charges Output Specification**

- 6.1 Local Land Charges Rules 1977
- 6.2 Local Authorities (England) (Charges for Property Searches) Regulations 2008
- 6.3 Local Land Charge (Amendment) Rules 2003
- 6.4 Environmental Information Regulations 2004
- 6.5 Local Authorities (England) (Charges for Property Searches) Regulations 2008

**7 Building Control Output Specification**

- 7.1 Building Regulations 2010
- 7.2 Building (Local Authority Charges) Regulations 2010

**8 Trading Standards Output Specification**

- 8.1 Licensing Act 2003 (Premises licences and club premises certificates) Regulations 2005
- 8.2 Licensing Act 2003 (Premises licences and club premises certificates) (Amendment) (Electronic Applications etc.) Regulations 2009
- 8.3 Motor Salvage Operators Regulations 2002
- 8.4 Manufacture and Storage of Explosives Regulations 2005
- 8.5 Timeshare, Holiday Products, Resale and Exchange Contracts Regulations 2010

**9 Planning and Development Management Output Specification**

- 9.1 Town and Country Planning (General Permitted Development) Order 1995
- 9.2 Town and Country Planning (Development Management Procedure) (England) Order 2010
- 9.3 Town and Country Planning (Control of Advertisements) (England) Regulations 2007
- 9.4 Electronic Communications Code (Conditions and Restrictions) Regulations 2003
- 9.5 Town and Country Planning (Appeals) (Written Representations Procedure) (England) Regulations 2009
- 9.6 Town and Country Planning (Hearings Procedure) (England) Rules 2000
- 9.7 Town and Country Planning Appeals (Determination by Inspectors) (Inquiries Procedure) (England) Rules 2000
- 9.8 Town and Country Planning (Hearings and Inquiries Procedures) (England) (Amendment) Rules 2009

- 9.9 Town and Country Planning (Appeals) (Written Representations Procedure) (England) Regulations 2009
- 9.10 Town and Country Planning (Enforcement) (Written Representations Procedure) (England) Regulations 2002
- 9.11 Town and Country Planning (Enforcement) (Hearing Procedure) (England) Rules 2002
- 9.12 Town and Country Planning (Enforcement) (Inquiries Procedure) (England) Rules 2002
- 9.13 Town and Country Planning (Tree Preservation) (England) Regulations 2012
- 9.14 High Hedges (Appeals) (England) Regulations 2005
- 9.15 Hedgerow Regulations 1997
- 9.16 Town and Country Planning (Environmental Impact Assessment) Regulations 2011
- 10 **Highways Network Management Output Specification**
- 10.1 Road Traffic (Special Parking Areas) (England) Order 2003
- 10.2 Traffic Signs Regulations and General Directions 2002
- 10.3 Construction (Design and Management) Regulations 2007
- 10.4 Flood Risk Regulations 2009
- 10.5 Road Vehicles (Authorisation of Special Types) (General) Order 2003
- 11 **Environmental Health Output Specification**
- 11.1 Health and Safety (Enforcing Authority) Regulations 1998
- 11.2 Environmental Information Regulations 2004
- 11.3 Food Law Code of Practice (England) April 2012
- 11.4 Regulation (EC) No.178/2002 – principles of food law;
- 11.5 Regulation (EC) No.852/2004 – general hygiene requirements;
- 11.6 Regulation (EC) No.853/2004 – laying down specific hygiene rules for food of animal origin;
- 11.7 Regulation (EC) No.2073/2005 – microbiological criteria for foodstuffs; and
- 11.8 Regulation (EC) No.882/2004 – on official controls performed to ensure the verification of compliance with feed and food law, animal health and animal welfare rules.
- 11.9 Housing Renewal Grants (Service and Charges) Order 1996
- 11.10 Disabled Facilities Grant (Maximum Amounts and Additional Purposes) (England) Order 2008

- 11.11 Housing Renewal Grants Regulation 1996
- 11.12 Regulatory Reform (Housing Assistance) (England and Wales) Order 2002
- 11.13 Housing Health and Safety Rating System (England) Regulations 2005
- 11.14 Regulatory Reform (Fire Safety) Order 2005
- 11.15 Licensing of Houses in Multiple Occupation (Prescribed Descriptions) (England) Order 2006
- 11.16 Management of Houses in Multiple Occupation (England) 2006
- 11.17 Licensing and Management of Houses in Multiple Occupation and Other Houses (Miscellaneous Provisions) (England) Regulations 2006
- 11.18 Health Protection (Local Authority Powers) Regulations 2010
- 11.19 Health Protection (Part 2A Orders) Regulations 2010
- 11.20 Smoke-free (Premises and Enforcement) Regulations 2006
- 11.21 Smoke-free (Penalties and Discounted Amounts) Regulations 2007
- 11.22 Private Water Supplies Regulations 2009
- 11.23 Health Protection (Notification) Regulations 2010
- 12 **DRS Partnering Agreement**
- 12.1 EU Directive (2004/18/EC)
- 12.2 Public Contracts Regulations 2006
- 12.3 Environmental Information Regulations 2004
- 12.4 Secretary of State for Constitutional Affairs' Code of Practice on the discharge of public authorities' functions under Part I of the Freedom of Information Act 2000 (November 2004)
- 12.5 Transfer of Undertakings (Protection of Employment) Regulations 2006
- 12.6 Local Government Pension Scheme (Benefits, Membership and Contributions) Regulations 2007
- 12.7 Local Government Pension Scheme (Administration) Regulations 2008
- 12.8 Best Value Authorities Staff Transfers (Pensions) Direction 2007
- 12.9 EC Business Transfers Directive 2001/23
- 12.10 Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006

Trowers & Hamlins  
15 May 2013

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Meeting	Budget and Performance Overview and Scrutiny Committee
Date	11 June 2013
Subject	<b>Budget &amp; Performance Overview &amp; Scrutiny Committee Forward Work Programme 2013/14</b>
Report of	Scrutiny Office
Summary	This report outlines the Committee's draft work programme for 2013/14

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Officer Contributors	Andrew Charlwood, Overview & Scrutiny Manager
Status (public or exempt)	Public
Wards affected	All
Enclosures	Appendix – Budget and Performance Overview and Scrutiny Committee Work Programme 2013/14
Reason for urgency / exemption from call-in	N/A

Contact for further information: Andrew Charlwood, Overview & Scrutiny Manager  
020 8359 2014, [andrew.charlwood@barnet.gov.uk](mailto:andrew.charlwood@barnet.gov.uk)

## **1. RECOMMENDATION**

- 1.1 That the Committee consider and comment on the items included in the 2013/14 work programme of the Budget & Performance Overview & Scrutiny Committee as set out in the Appendix.**

## **2. RELEVANT PREVIOUS DECISIONS**

- 2.1 None.

## **3. CORPORATE PRIORITIES AND POLICY CONSIDERATIONS**

- 3.1. The Overview and Scrutiny Committees must ensure that the work of Scrutiny is reflective of the council's priorities.
- 3.2. The three priority outcomes set out in the 2013 – 2016 Corporate Plan are;
- Promote responsible growth, development and success across the borough;
  - Support families and individuals that need it – promoting independence, learning and well-being; and
  - Improve the satisfaction of residents and businesses with the London Borough of Barnet as a place to live, work and study.

## **4. RISK MANAGEMENT ISSUES**

- 4.1 None.

## **5. EQUALITIES AND DIVERSITY ISSUES**

- 5.1 In addition to the Terms of Reference of the Committee, and in so far as relating to matters within its remit, the role of the Committee is to perform the Overview and Scrutiny role in relation to:
- The Council's leadership role in relation to diversity and inclusiveness; and
  - The fulfilment of the Council's duties as employer including recruitment and retention, personnel, pensions and payroll services, staff development, equalities and health and safety.

## **6. USE OF RESOURCES IMPLICATIONS (Finance, Procurement, Performance & Value for Money, Staffing, IT, Property, Sustainability)**

- 6.1 None in the context of this report.

## **7. LEGAL ISSUES**

- 7.1 None in the context of this report.

## **8 CONSTITUTIONAL POWERS**

- 8.1 The scope of the Overview and Scrutiny Committees is contained within Part 2, Article 6 of the Council's Constitution.
- 8.2 The Terms of Reference of the Scrutiny Committees are included in the Overview and Scrutiny Procedure Rules (Part 4 of the Council's Constitution).

## **9. BACKGROUND INFORMATION**

- 9.1 The Budget and Performance Overview and Scrutiny Committee's Work Programme 2013/14 indicates:
  - a) items of business carried forward from the Budget and Performance Overview and Scrutiny Sub-Committee work programme for the 2012/13 municipal year; and
  - b) items for the Committee to consider in the 2013/14 municipal year.
- 9.2 The work programme of this Committee is intended to be a responsive tool, which will be updated on a rolling basis following each meeting, for the inclusion of areas which may arise through the course of the year.
- 9.3 The Committee is empowered to agree its priorities and determine its own schedule of work within the programme.

## **10. LIST OF BACKGROUND PAPERS**

- 10.1 None.

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**London Borough of Barnet  
Budget and Performance  
Overview and Scrutiny  
Committee  
Work Programme (Provisional)  
May 2013 – May 2014**

Contact: Andrew Charlwood 020 8359 2014 andrew.charlwood@barnet.gov.uk

Subject	Decision requested	Cabinet Member / Officer	Author
<b>11 June 2013</b>			
DRS Final Business Case and Approved Bidder	To undertake pre-decision scrutiny of the final Business Case recommendation for a preferred and reserve bidder for the Development and Regulatory Service project	Cabinet Members for Resources and Performance, Environment, Housing, Safety & Resident Engagement, Customer Access & Partnerships and Planning & Regulatory Services	Development and Regulatory Services Project Team
<b>20 June 2013</b>			
Quarter Four and Year End 2012/13 Financial and Corporate Performance	The Committee to review Quarter Four and Year End 2012/13 Corporate Performance and Finance	Deputy Leader and Cabinet Member for Resources and Performance	Finance & Corporate Performance
Parking Services Performance	The Committee to consider a report on: <ul style="list-style-type: none"> <li>• performance of the Parking Service against financial targets and KPIs; and</li> <li>• findings of the ongoing Parking Pilot Schemes</li> </ul>	Cabinet Member for Environment	Director for Place / Street Scene Director
One Barnet Programme Highlight Report	The Committee to consider the One Barnet Programme Highlight report	Cabinet Member for Customer Access and Partnerships	Head of Programme and Resources
Review of Capital Programme	The have requested to review a report which provides an update on the Capital Programme	Deputy Leader and Cabinet Member for Resources and Performance	Chief Operating Officer / Commercial Director

<b>Subject</b>	<b>Decision requested</b>	<b>Cabinet Member / Officer</b>	<b>Author</b>
<b>16 September 2013</b>			
Quarter One Finance and Corporate Performance	The Committee to consider the Quarter One Finance and Corporate Performance Reports.	Deputy Leader and Cabinet Member for Resources and Performance	Finance & Corporate Performance
<b>9 December 2013 (Budget Scrutiny)</b>			
Business Planning	The Committee to consider the Executive's budget and Medium Term Financial Strategy proposals for the period 2014/15 – 2016/17.	Deputy Leader and Cabinet Member for Resources and Performance	Chief Operating Officer
Quarter Two Finance and Corporate Performance	The Committee to consider the Quarter Two Finance and Corporate Performance Reports.	Deputy Leader and Cabinet Member for Resources and Performance	Finance & Corporate Performance
<b>13 March 2014</b>			
Quarter Three Finance and Corporate Performance	The Committee to consider the Quarter Three Finance and Corporate Performance Reports.	Deputy Leader and Cabinet Member for Resources and Performance	Finance & Corporate Performance
<b>TBC - Long List</b>			
Update on Sport and Physical Activity Review	The Committee has requested to receive an update on Sport and Physical Activity Review	Cabinet Member for Customer Access and Partnerships	TBC
Libraries - Outline Proposals for Childs Hill & Grahame Park Libraries	The Committee to consider outline proposals for Childs Hill and Grahame Park libraries.	Cabinet Member for Customer Access and Partnerships	TBC

<b>Subject</b>	<b>Decision requested</b>	<b>Cabinet Member / Officer</b>	<b>Author</b>
Mill Hill Depot Relocation	The Committee have requested an update on the Mill Hill Depot Relocation project and the financial implications of the delay	Deputy Leader and Cabinet Member for Resources and Performance	Commercial Director
One Barnet Programme – Wave II Projects	The Committee to receive reports on Wave II Projects in the One Barnet Programme	TBC	Head of Programme and Resources