

MEETING

PERFORMANCE AND CONTRACT MANAGEMENT COMMITTEE

DATE AND TIME

MONDAY 27TH FEBRUARY, 2017

AT 7.00 PM

VENUE

HENDON TOWN HALL, THE BURROUGHS, LONDON NW4 4BQ

**TO: MEMBERS OF PERFORMANCE AND CONTRACT MANAGEMENT COMMITTEE
(Quorum 3)**

Chairman: Councillor Anthony Finn,
Vice Chairman: Councillor Sury Khatri

Councillor Jess Brayne	Councillor Kathy Levine	Councillor Arjun Mittra
Councillor Geof Cooke	Councillor John Marshall	Councillor Reema Patel
Councillor Rohit Grover	Councillor Shimon Ryde	Councillor Peter Zinkin

Substitute Members

Councillor Paul Edwards	Councillor Lisa Rutter	Councillor Caroline Stock
Councillor Gabriel Rozenberg	Councillor Alison Moore	Councillor Barry Rawlings

In line with the Constitution's Public Participation and Engagement Rules, public questions or comments must be submitted by 10AM on the third working day before the date of the committee meeting. Therefore, the deadline for this meeting is 10AM on Wednesday 22 February 2017. Requests must be submitted to Salar Rida at salar.rida@barnet.gov.uk.

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

Andrew Charlwood – Head of Governance

Governance Services contact: Salar Rida 020 8359 7113 salar.rida@barnet.gov.uk

Media Relations contact: Sue Cocker 020 8359 7039

ASSURANCE GROUP

ORDER OF BUSINESS

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1.	Minutes of the Previous Meeting	5 - 10
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3.	Declarations of Members Disclosable Pecuniary Interests and Non-Pecuniary Interests	
4.	Report of the Monitoring Officer (if any)	
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Decisions of the Performance and Contract Management Committee

5 January 2017

Members Present:-

AGENDA ITEM 1

Councillor Anthony Finn (Chairman)
Councillor Sury Khatri (Vice-Chairman)

Councillor Geof Cooke
Councillor Jess Brayne
Councillor Rohit Grover
Councillor Kathy Levine
Councillor John Marshall

Councillor Reema Patel
Councillor Arjun Mittra
Councillor Shimon Ryde
Councillor Peter Zinkin

1. MINUTES OF THE PREVIOUS MEETING

Councillor Anthony Finn Chairman of the Committee, opened the meeting and welcomed all attendants.

It was **RESOLVED** that the minutes of the previous meeting held on 15 November 2016 be agreed as a correct record.

2. ABSENCE OF MEMBERS

None.

3. DECLARATIONS OF MEMBERS DISCLOSABLE PECUNIARY INTERESTS AND NON-PECUNIARY INTERESTS

The following interests were declared at the meeting:

Councillor	Agenda Item(s)	Interests declared
John Marshall	7, 9	Non-pecuniary interest by virtue of being a School Governor at various schools in Barnet. Non-pecuniary interest by virtue of being a Council appointed Director for Barnet Group, Your Choice Barnet and Barnet Homes.
Jess Brayne	7	Non-pecuniary interest by virtue of being a leasehold tenant together with her partner of Barnet Homes.
Arjun Mittra	7	Non-pecuniary interest by virtue of being tenant of Barnet Homes and currently working for the GLA

4. REPORT OF THE MONITORING OFFICER (IF ANY)

None.

5. PUBLIC QUESTIONS AND COMMENTS (IF ANY)

None were received.

6. MEMBERS' ITEMS (IF ANY)

There were none.

7. PROPOSED INDICATORS FOR THE CORPORATE PLAN - 2017/18 ADDENDUM

The Chairman welcomed the report and invited Jamie Masraff, Interim Strategic Lead for Programmes & Performance to present the report. Mr Masraff introduced the report and noted that each year, priorities and indicators are reviewed including refreshed activities and targets for 2017/18.

The Committee requested information as to the interpretation of the 2019/20 target for AC/S1 under the heading 'Top 25% in England' and whether Barnet is on target. **(Action)**

A Committee Member raised concerns about the indicator, which was below target, for percentage of residents who are satisfied with repair of roads.

Following a query about the national average target, the Programme Director for Education and Learning Val White stated that the number of Looked after Children in any cohort is of a small size and as a result of which the target has been set against the national average.

In relation to the indicator for business survival rate across the borough (Re/S1) Mr Masraff explained that the comparable boroughs are the data holders with sufficiently comparable characteristics to Barnet. It was noted that the target will be reviewed and where necessary amended.

The details of the indicators for KPI01 and KPI05 (p25) under regeneration and infrastructure were agreed to include the wording 'net homes' completed.

A request was made by Committee Members about the area of focus for regeneration and infrastructure (p25) in order to provide a measure for true reflection. It was requested that the percentage of affordable homes be included in the Corporate Plan. **(Action)**

It was agreed that an update report be provided to the Committee setting out the affordable housing target, the methodology used and the performance against it. **(Action)**

The Committee noted that further information is needed in relation to (CG/S27) percentage of council spend (excluding direct debits) with local businesses – to clarify what the spend entails. **(Action)**

Mr Masraff noted that in respect of the indicator EH021 Compliance with licensing requirements for Houses in Multiple Occupation, the target for 2017-18 set at 60% will also be reviewed as part of the Re Contract Review.

It was **RESOLVED**:

That the Committee reviewed the proposed indicators for the Corporate Plan - 2017/18 addendum and made recommendations as above for any changes prior to approval of the Corporate Plan - 2017/18 addendum by the Policy and Resources Committee on 23 February 2017.

8. RISK MANAGEMENT FRAMEWORK

The Chairman introduced the report which sets out the updated Risk Management Framework following work undertaken to implement the finding from the 2016 internal audit report.

Mr Masraff presented the report and briefed the Committee about the risk management process, the respective roles of stakeholders and how the arrangements apply to commissioned services, programmes and projects.

The Chairman of the Committee requested to be consulted by officers in relation to escalated high level risks at an earlier stage. This is due to the time gap which may take place between occurrence and the next available PCMC meeting. **(Action)**

The Committee noted the need for appropriate ownership of the risks and periodic reviews of the risk champions - including where the nominated risk champions have moved post. **(Action)**

It was **RESOLVED**:

That the Committee noted and commented as above on the Risk Management Framework.

9. PROGRESS REPORT ON THE BARNET WITH CAMBRIDGE EDUCATION PARTNERSHIP

The Chairman introduced the report and welcomed Val White and Ian Harrison to join the table.

Ms White provided an update as to the progress made during the six months since the commencement of the strategic partnership between Barnet and Cambridge Education. It was noted that overall the transition has been a positive experience with governance and monitoring arrangements being put in place as well as good involvement with schools.

Mr Harrison noted the significant improvements made in prioritising new Education, Health and Care plans to ensure timely completion and increasing participation in the assessment process.

The Committee welcomed the report. Following a request from the Committee to receive the outcome of satisfaction surveys with schools, it was noted that an annual update report will be brought back to the Committee. **(Action: Forward Work Plan)**

In response to a comment about the need for strategic direction, Mr Harrison also highlighted the importance of a strategic advisory capacity of the governing clerk to schools.

RESOLVED:

That the Performance and Contract Monitoring Committee considered and noted the progress and performance of the strategic partnership with Cambridge Education since commencement on the 1 st April 2016.

10. EXTENDING THE REMIT OF THE MEMBER-LED WORKING GROUP FOR THE YEAR FOUR REVIEW OF THE DRS PARTNERING CONTRACT

The Chairman introduced the report.

The Committee Members agreed to nominate the membership as set out under section 1.5 of the report.

Councillor Arjun Mitra moved a motion which was seconded:

That the meetings be opened to the public – and that senior representatives from Re Contract be invited to the meeting.

Votes were recorded as follows:

For	5
Against	6
Abstentions	0

The motion was therefore declared lost.

The Committee requested that Re representatives attend the review meetings if required to do so. (**Action**)

The Chairman moved to the recommendations. It was **RESOLVED:**

- 1. That the Committee agreed that the remit of the established Member-led Working Group be extended to provide oversight of the Year Four Re Contract Review and that it continues to meet, as required, to fulfil that purpose.**
- 2. That the Committee agreed that the role of the Working Group will be to provide Member oversight to the Year Four Re Contract Review, including:**
 - providing strategic direction to the Review;**
 - agreeing the overall aims, objectives and desired outcomes of the Review;**
 - considering and challenging the evidence; and**
 - agreeing the recommendations to Committee.**
- 3. That the Committee nominated and appoints five Members to the Working Group, as set out under section 1.6 of the report.**

11. COMMITTEE FORWARD WORK PROGRAMME

The Committee noted the standing item on the agenda which lists the business of the Committee for 2017.

RESOLVED:

That the Committee considered and commented on the items included in the 2017 work programme in Appendix A.

12. ANY OTHER ITEMS THAT THE CHAIRMAN DECIDES ARE URGENT

There were none.

The meeting finished at 9.15 pm

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Performance and Contract Management Committee

27 February 2016

Title	Quarter 3 Performance Monitoring 2016/17
Report of	Chief Operating Officer
Wards	All
Status	Public
Urgent	No
Key	No
Enclosures	<p>Appendix A (i) List of indicators in Appendices A and B</p> <p>Appendix A (ii) Corporate Plan Performance</p> <p>Appendix B Service Performance</p> <p>Appendix C Revenue Monitoring</p> <p>Appendix D (i) Capital Monitoring</p> <p>Appendix D (ii) Capital Funding</p> <p>Appendix E Transformation Programme</p> <p>Appendix F Prudential Indicators</p> <p>Appendix G Investments Outstanding</p> <p>Appendix H (i) CSG Benefit Realisation</p> <p>Appendix H (ii) CSG Contract Benefit Realisation Tracking</p> <p>Appendix H (iii) Capita Payments</p> <p>Appendix I Contract Variations</p> <p>Appendix J Corporate Risk Register</p>
Officer Contact Details	<p>Jamie Masraff – Strategic Lead, Programmes and Performance jamie.masraff@barnet.gov.uk</p> <p>Gillian Clelland – Assistant Director of Finance (CSG Finance) gillian.clelland@barnet.gov.uk</p>

Summary

The **Quarter 3 (Q3) 2016/17** report provides an overview of the council's **performance, risks and finance** - and progress in delivering the strategic priorities in the Corporate Plan.

Corporate Plan performance

An overview of **performance, risk and finance** information for the **Corporate Plan** - highlighting successes and challenges in relation to the **strategic priorities**; any Corporate Plan indicators that are significantly "below target" (RAG rated as Red); and strategic risks and escalated risks from services. Further information can be found in Appendix A (ii), Appendix B and Appendix J.

Budget outturns

The forecast General Fund **revenue outturn** (after reserve movements) is £282.684m, which is an adverse variance of £7.706m (2.8 per cent) compared with the revised budget of £274.978m. The projected outturn expenditure on the council's **capital programme** is £175.800m, £136.582m of which relates to the General Fund programme and £39.218m to the HRA capital programme. This is a variance of £84.760m against the 2016/17 revised budget of £260.560m. Further information can be found in Appendix C and Appendix D.

Residents perception

Residents' satisfaction with Barnet remains high. The autumn 2016 survey shows that 85% of residents are satisfied with Barnet as a place to live (above the national average of 83%); and 71% of residents are satisfied with the way the council runs things (on par with the national average).

Customer experience

Satisfaction with customer services has remained well above target (80%) at 89%. Web satisfaction has increased by 6% points to 52%, above target (48%). This has been achieved by better cross-council collaboration with particular emphasis being placed upon improving the quality of the website content and webforms. Barnet entered the GovMetric top ten of UK councils for customers rating the website as 'Good' for the first time this quarter.

Human resources

Sickness absence has reduced to 7.88 days (from 8.23 days), but remains higher than the 6 days target. Agency expenditure has increased by £1.025m from the same period last year. The most significant areas of agency spend are in Adults and Communities, Family Services and the Commissioning Group.

Service performance

An overview of **service performance, risk and finance** information for each service – focusing on key successes and challenges; any service indicators that are "below target"; and revenue and capital budget variances. The majority of this information is in Appendix B. Information for specific services can be found in the service reports on the website at www.barnet.gov.uk/currentperformance

Transformation programmes

The council has in place five portfolios of large programmes and projects: Central, Adults and Health, Children and Young People, Environment and Growth and Development. In

addition, it has an Education Capital Programme in place to ensure successful delivery of new school places and improvements to schools.

Treasury outturn

In compliance with the requirements of the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice this report provides Members with a summary report of the treasury management activity during the period to 31 December 2016. The Prudential Indicators have not been breached and a prudent approach has been taken in relation to investment activity with priority being given to security and liquidity over yield.

Investment performance

As at 31 December 2016, deposits outstanding were £106.992m achieving an average annual rate of return of 0.46 per cent against a benchmark average (London Interbank Bid Rate - LIBID) of 0.41 per cent.

Contract management

A summary of contract changes on the council's key contracts has been provided in Appendix I.

Recommendations

- 1. The Committee is asked to scrutinise the performance of services, especially in relation to delivering the Corporate Plan, and (if necessary) make recommendations to other committees on the policy and commissioning implications.**
- 2. The Committee is asked to note the corporate risk register, including the escalated service risks, as detailed in Appendix J.**
- 3. The Committee is asked to note the Quarter 3 2016/17 revenue budget and forecast position, as detailed in paragraph 1.7.**
- 4. The Committee is asked to note the additions and deletions (which include virements) and approve the accelerations and slippages in the capital programme, as detailed in paragraph 1.8.**
- 5. The Committee is asked to note the savings delivered in Q3 2016/17, as detailed in paragraph 1.9.**
- 6. The Committee is asked to note the agency costs for Quarter 3 2016/17, as detailed in paragraph 1.13.**
- 7. The Committee is asked to note the treasury position outlined in paragraph 1.21.**

1. WHY THIS REPORT IS NEEDED

1.1 The **Quarter 3 (Q3) 2016/17** report provides an overview of the council's **performance, risk and finance** - and progress in delivering the strategic priorities in the Corporate Plan:

- Responsible growth and regeneration
- Managing demand for services
- Transforming services
- Building community resilience
- Improving customer services and transparency

1.2 The report is structured to show:

- How the council is performing against the strategic priorities in the Corporate Plan, including a summary of successes and challenges (see Appendix Aii)
- An overview of strategic risks and escalated risks from services (see Appendix J)
- The overall budget position, including revenue and capital expenditure (see Appendix C and Appendix D)
- Information on residents' perception, customer experience and human resources
- How services are performing, including commentary for indicators that are "below target" (see Appendix B)
- The status of key programmes (see Appendix B).

1.3 In addition to this report, each quarter the council publishes on the website 15 service reports (for Delivery Units and Service Providers) providing detailed information on performance, risks and finance. These can be found at: www.barnet.gov.uk/currentperformance

CORPORATE PLAN PERFORMANCE

1.4 This section aligns **performance**, **risk** and **finance** information for the Corporate Plan – highlighting successes and challenges in relation to the **strategic priorities** and any Corporate Plan indicators that are significantly "below target" (RAG rated as Red); strategic risks and escalated risks from services; and revenue and capital budget variances. Further information can be found in **Appendix A (ii)**, **Appendix B** and **Appendix J**.

An overview of performance for the basket of indicators in the Corporate Plan is shown in table 1 below. Of the 80 indicators in the Corporate Plan, 61 have been reported in Q3 2016/17. 44 have been given a RAG rating and 46 have been given a Direction of Travel (DOT) status.

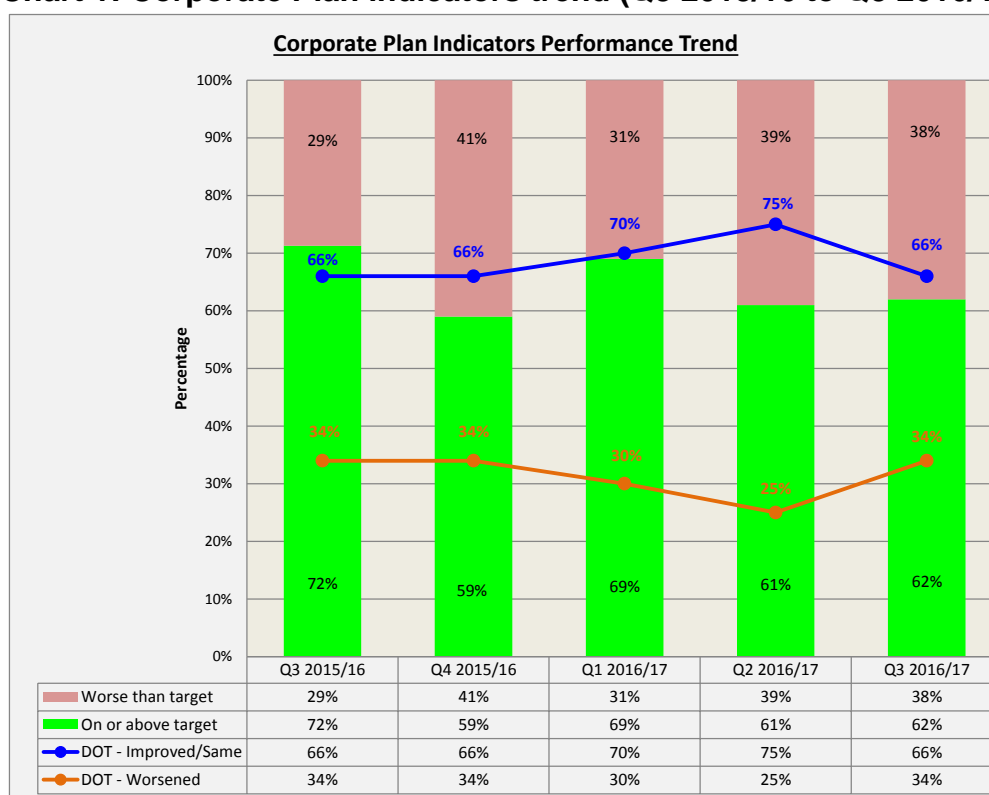
Table 1: Corporate Plan indicators (Q3 2016/17)

Strategic priority	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
Growth and regeneration	71% (5)	14% (1)	0% (0)	14% (1)	60% (6)	40% (4)
Managing demand	55% (11)	20% (4)	10% (2)	15% (3)	65% (11)	35% (6)
Transforming services	57% (4)	29% (2)	0% (0)	14% (1)	57% (4)	43% (3)
Resilient communities	83% (5)	17% (1)	0% (0)	0% (0)	83% (5)	17% (1)
Customer service and transparency	60% (3)	20% (1)	20% (1)	0% (0)	71% (5)	29% (2)
Total	62% (28)	20% (9)	7% (3)	11% (5)	66% (31)	34% (16)

The percentage of Corporate Plan indicators "on or above target" (62%) has slightly increased from Q2 2016/17 (61%), whilst the percentage of Corporate Plan indicators with an "improved or same" DOT (66%) has decreased from Q2 2016/17 (75%) - see chart 1 below. The Corporate Plan indicators that

are significantly “below target” (RAG rated as Red) are shown in the **strategic priorities** section below.

Chart 1: Corporate Plan indicators trend (Q3 2015/16 to Q3 2016/17)



Strategic priorities

1.5 Progress on the council’s “key areas of focus” is shown in **Appendix A (ii)**, with the key successes and challenges in Q3 2016/17 for each of the strategic priorities highlighted below.

Responsible growth and regeneration

Successes

- Significant progress has been made on the growth and regeneration programme this quarter, with the **completion of 60 homes at Grahame Park and 210 homes at Millbrook Park**, including 51 affordable homes for social rent and shared ownership.

CPI: Growth and regeneration ¹	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	71% (5)	14% (1)	0% (0)	14% (1)	60% (6)	40% (4)

One indicator has been RAG rated as Red:

¹ 11 indicators have been reported in Q3 2016/17 under Growth and Regeneration. Seven have been given a RAG rating and 10 have been given a Direction of Travel (DOT) status.

- **Temporary accommodation current arrears as percentage of debit** – is 6.47% against a target of 5.20%, with performance worsening from Q2 2016/17 (5.70%). Cash arrears are approximately £159k off target against a total annual collectable debit of £23.2m. Housing benefit (HB) as a percentage of the rent collected continues to be a concern, with a continuous decline in HB receipts since the start of the financial year. An income maximisation plan has been put in place, which focused on early intervention for low level arrears cases to limit escalations.

Managing demand

Successes

- **Measures put in place to manage homelessness demand continue to deliver strong results.** Let2barnet enabled a record 454 private sector lettings by the end of Q3 2016/17 and is well on the way to achieving the annual target of 500. The number of homelessness preventions has also remained stable, with services delivering 720 preventions against an annual target of 900 for 2016/17. Numbers in emergency accommodation have fallen to 185, their lowest since April 2011.
- **Barnet Homes achieved the top ranking in London for the cost of delivering housing management services** in the annual benchmarking analysis carried out by the housing consultancy Housemark.
- A new **extra care scheme** at Moreton Close has been approved, enabling demolition of the previous sheltered housing to commence. This dementia friendly scheme is expected to be completed in the spring of 2018.
- A successful series of **'Silver Sunday' events** have been held, as part of a national event that celebrates the contribution older people make to communities while combating loneliness and social isolation. 662 people attended the events and 92 signed up for regular activities (such as sport and leisure activities or digital inclusion classes).
- **Residents' satisfaction with refuse collection and recycling remain high and well above the London averages.** The provision of recycling facilities for residents in flats has continued, with the roll-out of 1100-litre bins.
- The **Keep Barnet Clean trial has been operating successfully**, with almost 1,300 fixed penalty notices being issued for littering. Several people have been convicted for non-payment of their fixed penalty notice and ordered to pay £280 each. The fixed penalty notice for fly tipping has also been increased to its maximum level of £400.
- The **Barnet Integrated Locality Team (BILT)** works across the borough to provide community based support to service users and patients who are at risk of an unplanned accident and emergency attendance or unplanned admission into an acute setting within the next 12 months. The team are part of a wider integrated care system that includes the use of targeted identification via risk stratification to identify those who can be supported, a rapid response team and 7-day social work at hospitals plus preventative services.
- A programme of work has been launched to make Barnet a **dementia friendly** borough. Following a successful event in May 2016, 18 organisations have signed up to join the Barnet Dementia Action Alliance;

this will enable Barnet to progress toward becoming a 'Dementia Friendly Community'. The Alliance is due to be constituted on 23 February 2017, with a launch in Dementia Awareness Week in May. Work has focused on diagnosis and support for carers of people with dementia. As part of this, service users and carers have been invited to participate in an Engagement Working Group that will review the information and advice needs for residents with dementia and their carers. A well-attended first meeting took place on 30 January 2017.

- A programme of work has been developed to improve **employment outcomes for working age adults with learning disabilities**. A new contract with Your Choice Barnet will increase support to people with learning disabilities, including autism, to move towards more independent living and participate in the workplace, whilst creating savings for the council. To date, £58,008 savings have been identified. Two people with learning disabilities have been employed as YCB service user champions; four adults are due to be employed to provide support with cleaning or food preparation at the YCB Day Services; one adult has been supported to step-down from supported living and a further five adults are being supported to step-down.

Challenges

- **Managing the continuing financial pressure on Adult Social Care** – at the end of the quarter Adults and Communities is forecasting an overspend of £6.025m.
- **Demand for temporary accommodation remains at peak levels** with 2,861 households in such accommodation at the end of December 2016. To help relieve pressures, Barnet Homes has developed further proposals to help manage demand, including new mitigation proposals to support temporary accommodation reduction and homelessness preventions. With potentially adverse changes to the temporary accommodation subsidy system due to be implemented in 2017/18, progress made in reducing demand will have compound benefits next financial year.
- **Highways management - Year 1 Network Recovery Plan (NRP)** remedial issues have been identified with discussions to resolve the matter being held directly between the council and its third party contractor.
- Challenges experienced with obtaining timely and complete performance data from the third party contractor have persisted. Whilst reactive repairs for all category type defects continue to be instructed and repaired on the borough's roads, there has been **limited data to track performance on turnaround times** (see Red RAG rated indicator below).
- A joint internal service review of **planning enforcement** by the council and Re was completed in October 2016, with an improvement plan finalised in November 2016. A recent audit by the council of the Planning and Building service has confirmed one of the identified challenges - finding that some investigations into breaches of planning consent had not been completed in a timely manner. Management action to improve systems, processes and communications activities related to planning enforcement has been underway since October 2016. Members have been provided with a briefing on planning enforcement in December 2016

and received the new case summary report from January 2017. Progress is on track with delivering all aspects of the agreed improvement programme, due for completion by 31 March 2017.

CPI: Managing Demand ²	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	55% (11)	20% (4)	10% (2)	15% (3)	65% (11)	35% (6)

Three indicators have been RAG rated as Red:

- The **percentage of adults with mental health needs in paid employment** - 6.1% against a quarterly target of 6.8%. Although below target, this is better than last quarter (5.8%) and the same time last year (5.4%); and above the London benchmark of 5.0%. The indicator relates to service users on the Care Programme Approach (CPA), whose needs are relatively intensive, and shows the impact of a programme of mental health reviews that were undertaken to support implementation of the mental health transformation programme. In addition to the new YCB contract's focus on employment and other actions, the two mental health services, MAPS and IPS, are now increasingly working with service users with funded care packages as well as those on CPA only.
- **Highways defects made safe within agreed timescale** – this composite indicator has been reported as a fail for the second quarter due to an ongoing issue with the contractor. Direct discussions aimed to resolve this and other contractual issues are taking place. Meanwhile, Re continues to raise highways repair orders to the contractor and provides the council with a weekly update on instructed works.
- The **percentage of residents who are satisfied with parking services** – 24% against a target of 33%. Officers are investigating the relationship between customer complaints and service quality, pressure on the availability of road space / congestion and resident satisfaction.

Transforming services

Successes

- Following the smooth transfer of services to Cambridge Education in April 2016, **service reviews have been completed for all services areas in the first 100 working days of the contract** with the council and structural changes, efficiency measures and plans for growth are now being put in place.
- Work has continued to embed the **new operating model** for adult social care. Six cohorts of staff have graduated through the learning programme; and a 'Coaching Skills for Managers' session has been facilitated. The strength-based approach has been included in the induction programme for new staff. In addition, the majority of staff have been briefed on the new Sustainability and Transformation Plan (STP) for the North Central London sub-regional area, which has been submitted to NHS

² 25 indicators have been reported in Q3 2016/17 under Managing Demand. 20 have been given a RAG rating and 17 have been given a Direction of Travel (DOT) status

England. The **Adults Hubs (Care Space)** at the Independent Living Centre in Colindale and the Anne Owen Centre in East Finchley have been up and running since end September 2016. Over time, people will be able to keep their independence longer and there will be an increase in community-based support. Already the data is showing a decrease in the proportion of assessments resulting in council-funded services.

- Practice Development Workers have been appointed to support the pace of progress in **practice improvements in children’s social care**. The Quality Assurance framework has been strengthened to improve the quality of audit, and increased audit activity has taken place across the service. Training sessions on Signs of Safety have commenced, with an advanced session being held with Practice Leaders in the next quarter.
- A **Mental Health and Wellbeing Governance Board** has been established to drive forward the re-modelling and re-commissioning of CAMHS. This work has commenced, with a refreshed needs assessment, service mapping and plans to consult on the emerging model, including an event for young people in February 2017.
- **Health Visiting services are being re-modelled**, as part of the 0-19 Family Services review, to establish a more integrated and resilience-based approach to supporting families health and wellbeing. Extensive service mapping and consultation has taken place and options will be drawn up in the spring.
- The new **Barnet Young People’s Drug and Alcohol Service** (Barnet YPDAS) has been launched with support from Barnet’s young people and a broad range of stakeholders. To help Barnet schools access advice and support online, an educational portal has been developed.
- Two more schools have achieved the **Gold award for Healthy Schools London**. Barnet now has nine Gold awards in total placing it in a **joint first place** across the 33 London boroughs.

Challenges

- It is estimated that **Barnet schools on average will lose 1% of current funding by 2019/20** as a result of the introduction of the National Funding Formula. This comes on top of growing pressures on school budgets arising from increases in employers’ National Insurance and pension contributions. As a result a growing number of schools are facing financial challenges.

CPI: Transforming service ³	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	57% (4)	29% (2)	0% (0)	14% (1)	57% (4)	43% (3)

One indicator has been RAG rated as Red:

- **Smoking prevalence** - 14.4% against a target of 13%. This is a very slight improvement on last quarter (14.6%). The challenge has been to identify options in the context of changes in the Sustainability and Transformation Plan (STP) landscape and reducing budgets, as well as

³ 13 indicators have been reported in Q3 2016/17 under Transforming Services. Seven have been given a RAG rating and seven have been given a Direction of Travel (DOT) status.

the forthcoming Pan-London Smoking Channel Shift project that Barnet will be participating in. In the interim, a specialist smoking cessation trainer has been appointed to deliver up-to-date training and CO monitor calibration in 2017.

More resilient communities

Successes

- The **Barnet Community Directory** has been signed off and a soft launch was initiated in December 2016.
- The **Communities Together Network** Steering Group has considered the annual report and agreed a way forward for 2017.
- A communications campaign aimed at increasing **community participation** in the borough has launched in the Barnet First magazine. This has been underpinned by focus groups with residents.
- As part of the Community Asset Strategy, a new **Community Business Case Coach** has been appointed to help maximise the professional support available to Voluntary and Community Sector groups. A user group for the proposed Tarling Road community centre has been established to inform the development of a management organisation for the centre, and to keep all stakeholders informed of project progress. Works are scheduled to start in spring 2017.

CPI: Resilient Communities ⁴	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	83% (5)	17% (1)	0% (0)	0% (0)	83% (5)	17% (1)

No indicators have been RAG rated as Red.

Improving customer services and transparency

Successes

- The **cross-party review of the Customer and Support Group contract** has demonstrated that, three-years in, it has delivered significant benefits to the borough and improved resident satisfaction, along with offering the council new savings opportunities.
- The Customer and Support Group has achieved all KPIs; their best quarter since Customer Services was transferred.
- Barnet Customer Services **face-to-face customer satisfaction** has consistently been in the Top 3 for the national GovMetric channel satisfaction league table. This is across the 70 councils that use GovMetric.
- **Web satisfaction has risen to 52%** (up 6% points from Q2 2016/17); and now features in the Top 10 councils nationwide for the GovMetric channel satisfaction index (ranked 3rd in October and 8th in November). Work has continued on refreshing the website content of the 60 most complained

⁴ Six indicators have been reported in Q3 2016/17 under Resilient Communities. Six have been given a RAG rating and six have been given a Direction of Travel (DOT) status.

about pages from GovMetric, which has contributed to the rise in satisfaction. Furthermore, the team has been collaborating with councils across London in adopting clearer and simpler ways of creating web content. The layout and user experience changes to MyAccount have been implemented.

- Barnet has built a national reputation for setting high standards in the field of transparency and Open Data, and is **recognised as a Local Government Transparency Champion by the Cabinet Office**. The Open Barnet portal has reduced process and demand in responding to Freedom of Information (FOI) requests; 13% of all requests have been answered using published data in 2016/17 so far, and publication of data has led to a 50% reduction in requests regarding Business Rates, from a peak at the beginning of 2015 to the end of Q3 2016/17.

CPI: Customer service and transparency ⁵	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	60% (3)	20% (1)	20% (1)	0% (0)	71% (5)	29% (2)

Corporate risks register (strategic risks and escalated risks)

- 1.6 The corporate risk register (Appendix J) incorporates strategic risks and escalated risks (scoring above 15) from services. The residual scores, reflecting the controls and mitigations in place, for strategic risks are provided below.

Strategic Risks (SR)	Low	Moderate	Medium High	High
	0 (0%)	0 (0%)	12 (75%)	4 (25%)

11 risks have been escalated from the service risk registers this quarter. A summary of service risk residual scores can be found in **Appendix B**.

The strategic and service risk registers are live documents with new risks emerging and risk scores changing at any time. The risks set out in the corporate risk register provide a snapshot in time (as at end Q3 2016/17).

Budget position – revenue, capital and savings

- 1.7 The forecast General Fund **revenue outturn** (after reserve movements) is £282.684m, which is an adverse variance of £7.706m (2.8 per cent) compared with the revised budget of £274.978m. See table 2 below.

Table 2: Revenue outturn (Q3 2016/17)

Service	Original Budget £000	Revised Budget £000	Q3 Projected Outturn £000	Variance from Revised Budget Adv/(fav) £000	Variance from Revised Budget Adv/(fav) %
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⁵ Seven indicators are reported in Q3 2016/17 under Improving customer services. Five have been given a RAG rating and seven have been given a Direction of Travel (DOT) status

Service	Original Budget £000	Revised Budget £000	Q3 Projected Outturn £000	Variance from Revised Budget Adv/(fav) £000	Variance from Revised Budget Adv/(fav) %
Adults and Communities	85,566	88,968	95,022	6,054	6.8
Assurance	3,793	3,854	3,854	-	0.0
Births, Deaths & Marriages (Registrar Service)	(160)	(160)	18	178	111.3
Central Expenses	51,381	43,654	43,157	(497)	(1.1)
Commissioning Group	19,288	20,186	20,186	-	0.0
Customer and Support Group (CSG)	22,120	22,090	22,590	500	2.3
Education and Skills	6,940	7,082	7,157	75	1.1
Family Services	46,481	51,044	52,032	988	1.9
HB Public Law	2,011	2,011	2,068	57	2.8
Housing Needs and Resources (Barnet Homes)	4,976	5,560	5,738	178	3.2
Parking and Infrastructure	(1,933)	(1,947)	(2,003)	(56)	(2.9)
Public Health	18,544	18,055	18,055	-	0.0
Regional Enterprise (Re)	1,134	1,134	1,424	290	25.6
Street Scene	13,896	13,447	13,386	(61)	(0.5)
Total	274,037	274,978	282,684	7,706	2.8

The top contributors to the variance from budget are **Adults and Communities, Family Services and the Customer and Support Group.**

- The current projected overspend of £6.054m within **Adults and Communities** represents 6.8 per cent of the total Delivery Budget (£88.968m).

The care budgets within Adults have seen significant overspends since 2014/15 as a result of rising demand for services and increasing complexity in relation to those supported. The main pressure for learning disabilities also continues to be in relation to clients' complex needs increasing and individuals transitioning from children's services into adult services. There are further pressures on the learning and disabilities budget resulting from Ordinary Resident clients transitioning into Barnet.

The care budgets for older adult and dementia placements have seen significant overspends since 2014/15 as a result of rising demand for services and increasing complexity in relation to those supported. In 2016/17, demand continues to grow for older adults placements with a particular growth in clients with dementia requiring complex packages of care.

The Deprivation of Liberty Safeguards (DOLS) service continues to have significant pressures in 2016/17, as a result of Supreme Court judgements in 2014/15 and a loss of grant funding since 2015/16. Some of the current pressures are offset by underspends within the non-placement budget areas and these budgets continue to be closely monitored and managed.

- The projected overspend of £988m within **Family Services** represents 1.9 per cent of the total Delivery Unit budget (£51.044m). This is primarily due to an increase on 0-25 in relation to the increase in the cost of current placements, costs transferred from Children Looked After or Special Educational Needs and young people moving out of home into supported living as they become more independent. There is also an increase in the number of agency staff covering vacant posts and pressure on the unaccompanied asylum seeking children budget. The delivery unit has been working to reduce the level of agency staff. The overspends are partially offset by managing contractual increases.
- The projected overspend of £0.500m within the **Customer and Support Group** represents 2.3 per cent of the total Delivery Unit budget (£22.090m). The projected overspend is due to additional security costs and reduced income.

1.8 The projected outturn expenditure on the council's **capital programme** is £175.800m, £136.582m of which relates to the General Fund programme and £39.218m to the HRA capital programme. This is a variance of £84.760m against the 2016/17 revised budget of £260.560m. Table 3 below summarises the actual expenditure, budget and variance by service area.

Table 3: Capital outturn (Q3 2016/17)

Service	2016/17 Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	Projected Outturn £000	Variance from Approved Budget Adv/(Fav) £000	Slippage %
Adults and Communities	1,039	341	-	1,380	341	0.0
Commissioning Group	33,237	(341)	(16,076)	16,820	(16,417)	(48.4)
Education and Skills	71,389	-	(31,376)	40,013	(31,376)	(44.0)
Family Services	9,662	-	(4,139)	5,523	(4,139)	(42.8)
Housing Needs & Resources (Barnet Homes)	13,983	(5,056)	(57)	8,870	(5,113)	(0.4)
Parking and Infrastructure	1,457	-	(261)	1,196	(261)	(17.9)
Regional Enterprise (Re)	87,467	(1,152)	(25,442)	60,873	(26,594)	(29.1)
Street Scene	2,536	-	(629)	1,907	(629)	(24.8)
General Fund	220,770	(6,208)	(77,980)	136,582	(84,188)	(35.3)
HRA (Barnet Homes)	39,790	313	(885)	39,218	(572)	(2.2)
Total Capital Programme	260,560	(5,895)	(78,865)	175,800	(84,760)	(30.3)

The 'variance from approved budget' column is a net figure based on movements to and from budget allocated to future financial years, and additions and deletions to the capital programme⁶.

The principal variances from budget and reasons for these are as follows:

⁶ As an example, a budget may be set for a school build but construction may not start until halfway through the year and is due to continue into future financial years. As construction accounts for the majority of the budget, it needs to be re-profiled ('slipped') into the financial year in which it will be spent. Slippage does not indicate an underspend, simply a movement of budget into future financial years.

- The **Adults and Communities** capital programme shows a variance from budget of £0.341m. This is due to a transfer from the IT Strategy budget in Commissioning.
- The **Commissioning Group** forecast includes the IT Strategy budget transfer to Adults (£0.341m), slippage in relation to the Depot relocation (£8.000m), community centre build (£2.000m) where the procurement phase has taken longer than expected and the Sports and Physical Activity project where a longer design phase than planned has delayed the start of the build from the original January date. (£5.717m).
- The **Education and Skills** forecast includes slippage of £31.376m, mainly as a result of school build and expansion funding being re-profiled into future years.
- The **Family Services** capital programme is forecasting slippage of £4.139m. This is largely due to slippage on the implementation of the Library Strategy where work has started but is anticipated to continue into 2017/18. Residential and Fostering expansions will not take place in this financial year.
- The **Housing Needs and Resources** programme has decreased by £5.056m. This is in relation to the development pipeline which, in the proposed current budget being submitted to Policy and Resources in February, will form part of a consolidated budget for support to Open Door.
- The **Re** delivery unit capital programme has decreased by £26.594m. This is due to deletions of £1.152m where various small projects are no longer going ahead and slippage of £25.442m. The slippage is largely due to Brent Cross land acquisitions now not taking place in 2016/17 (£14.351m) and delays to the schedule for the investment in roads and pavements and carriageways resulting in the re-profiling of the budget (£8.932m).
- The **HRA** forecast shows an addition of £0.313m for the New Affordable Homes project where section 278 costs are higher than expected and slippage of £0.885m. The slippage relates to Moreton Close where delays in the appointment of a contractor have extended this project further into 2017/18.

1.9 In 2016/17 the council budgeted to deliver £19.554m of **savings**. The value of savings forecast to be achieved against the savings programme is shown in table 4. As at 31 December, £17.877m of total savings has been delivered, which represents 91.4% of the target, with 2.2% identified as unachievable.

Table 4: Savings (Q3 2016/17)

Service	2016/17 MTFS Savings Target £000	Savings Achieved £000	Savings Expected to be Achieved £000	Savings Unachievable £000	Savings achieved %
Adults and Communities	3,383	3,383	-	-	100.0
Assurance	351	304	-	47	86.6
Central Expenses	6,995	6,665	130	200	95.3
Commissioning Group	2,411	2,211	200	-	91.7
Education and Skills*	85	85	-	-	100.0
Family Services	1,986	1,036	826	124	52.2
Parking and Infrastructure	1,130	1,030	100	-	91.2

Service	2016/17 MTFS Savings Target £000	Savings Achieved £000	Savings Expected to be Achieved £000	Savings Unachievable £000	Savings achieved %
Re	2,253	2,253	-	-	100.0
Street Scene	960	910	-	50	94.8
Total	19,554	17,877	1,256	421	91.4

*The contract with Cambridge Education will deliver guaranteed savings of £1,885m over the seven year period from 1 April 2016. £900,000 of this saving falls in 2016/17, £815,000 of which was for savings deferred from 2015/16 due the procurement process for the new delivery model for Education and Skills. The Cambridge Education contract actualises those savings and makes a further MTFS saving for the council of £85,000 in 2016/17.

Residents' perception, customer experience and human resources

Residents' perception

- 1.10 The results of the autumn 2016 residents' perception survey⁷ show that:
- 85% of residents are satisfied with Barnet as a place to live – 2% points higher than the national average (83%); and down 3% points from autumn 2015 (88%)
 - 71% of residents are satisfied with the way the council runs things – 3% points higher than the national average (68%); 1% point higher than the London average (70%); and down 3% points from autumn 2015 (74%)
 - 51% of residents agree that the council provides value for money – 2% points higher than the national average (49%); and down 1% point from autumn 2015 (52%)
 - The top three concerns for residents continue to be the lack of affordable housing (34%) – down 2% points from autumn 2015 (36%); the condition of roads and pavements (30%) – up 1% point from autumn 2015 (29%); and crime (30%) – down 2% points from autumn 2015 (32%)
 - The highest rated universal services are refuse collection (76%) – 7% points higher than the London average (69%) and down 4% points from autumn 2015 (80%); doorstep recycling (74%) - 8% points higher than the London average (66%) and down 1% point from autumn 2015 (75%); and street lighting (69%) - 2% points lower than the London average (71%) and down 2% points from autumn 2015 (71%).
 - The lowest rated universal services are: repair of roads (33%) – 8% points lower than London (41%) and down 2% points from autumn 2015 (35%); parking services (24%) - 9% points lower than London (33%) and down 6% points from autumn 2015 (30%); and quality of pavements (34%) – 7% points lower than London (41%) and down 1% point from autumn 2015 (35%).

⁷ A representative sample of 500 residents (adults, 18+) from across the London Borough of Barnet. Confidence intervals for a sample of 500 = +/-4.4% (i.e. if we surveyed the whole population we can be confident that the results would be the same +/-4.4%). London data taken from Survey of Londoners 2014/15 (November 2014) - a representative random sample of approximately 1,000 adults in London. National data taken from LGA public poll on resident satisfaction (October 2016) – a representative random sample of approximately 1,000 British adults polled by telephone once a quarter.

Customer experience

- 1.11 To ensure the council maintains its focus on customers, the council monitors a range of customer indicators. In addition, the council has in place a weekly monitoring regime for senior management visibility of overdue complaints, members' enquiries and other customer data to drive further improvement.

There has been as steady improvement in customer experience during the year, with the majority of targets being achieved in Q3 2016/17 (see table 5). Overall satisfaction with customer services has remained well above the annual target (80%) at 89%; and web satisfaction has increased by 6% points in the last quarter to 52%, above target (48%). Barnet has consistently been in the Top 3 nationally for face-to-face customer satisfaction and entered the Top 10 for customers rating the website as 'Good' for the first time this quarter.

Table 5: Customer experience indicators (Q3 2016/17)

Indicators	Q3 2016/17 Target	Q2 2016/17	Q3 2016/17	DoT
% Complaints responded to within SLA	90%	91%	93%	↑
% Members Enquiries responded to within SLA (5 days) ⁸	98%	100%	99%	↓
% Members Enquiries cases closed in 5 days	-	84%	79%	↓
% of cases delivered within SLA ^{2,9}	92%	84%	85%	↑
% of cases delivered within SLA for customers needing additional support ²	92%	92%	98%	↑
Case Closure Survey (sum of 'Very good' and 'Good' ratings)	65%	61%	63%	↑
% FOIs resolved within SLA	90%	95%	98%	↑
% Contact centre calls answered in total, including IVR	95%	95%	97%	↑
% Council desk phones answered in total	95%	80%	79%	↓
% CSG Emails responded to within SLA (5 days) ²	95%	97%	96%	↓
% CSG Webforms responded to within SLA (5 days) ²	95%	97%	97%	→
Non-appointment average wait (min)	5.00	5.77	3.56	↑
Appointment avg wait (min)	5.00	0.60	2.21	↓
% Customers that rate customer service as 'Good' (GovMetric) ²	87%	90%	89%	↓
% Customers that rate the website as 'Good' (GovMetric) ²	48%	46%	52%	↑
% Self-service contacts	40%	43%	44%	↑
% Right first time contacts	70%	73%	74%	↑

⁸ Changes to targets have been agreed with CSG and intend to become more challenging as the year progresses.

⁹ Data primarily covers Parking, Assisted Travel, Highways and Planning, and Revenues and Benefits.

Successes (improvements):

- **Complaints responded to within SLA have increased by 2% points to 93%.** New recording procedures have been put in place to ensure that 'complaints' and 'service requests' are reported accurately. There has been a **50% reduction in complaints referred to the Ombudsman** in Q3 2016/17.
- The **number of members enquiries has marginally increased** in Q3 2016/17 to 1,383 and 99% were responded within SLA, achieving above target of 98%.
- **Cases closed within SLA timeframes has increased by 1% point to 85%** (from 85% in Q2 2016/17). The inclusion of Revenues and Benefits data (accounting for 67% of all cases) had a significant impact on the overall rating. Whilst Revenues and Benefits improved slightly from Q2 2016/17, performance is still below target. When Revenues and Benefits data is removed, 90% of cases are delivered within SLA. The number of customers who needed additional support cases delivered within SLA, increased significantly to 98% (versus 92% in Q2).
- The CSG contact centre answered 97% of all calls received and **handled 82% of calls within 60 seconds**, an increase of 11% points (from 71% in Q2 2016/17) and achieved above target. This has been attributed to all new advisors being fully operational from October and November.
- CSG has **responded to 96% of all emails and 97% of webforms within SLA timeframes**, remaining well above the 90% target.
- The average waiting time for appointments (2.21 minutes) and non-appointments (3.56 minutes) has remained **significantly under the 5 minutes target**.
- **Satisfaction with customer services has remained above target at 89%.**
- Web satisfaction has increased by 6% points to **52%, achieving above target (48%)**. This has been achieved by greater cross-council collaboration with particular emphasis being placed upon improving the quality of the website content and webforms. Barnet entered the GovMetric top ten of UK councils for customers rating the website as 'Good' for the first time this quarter.
- Both new measures, **self-serve contacts** (44%) and **right first time contacts** (74%), introduced in Q2 2016/17 to support the customer access strategy, have achieved above target and show an improvement from Q2 2016/17.

Challenges (areas for improvement):

- **Members enquiries closed within five days has fallen 5% points to 79%** (from 84% in Q2 2016/17).
- **79% of council desk phone calls have been answered.** This remains below the 95% target. A number of issues have been identified and are being addressed as part of a performance improvement programme. Changes as a result of the programme findings will be implemented incrementally from Q4 2016/17 and improvement is expected.
- The **number of CSG webforms submitted fell by a third** from 2,016 in Q2 2016/17 to 1,460 in Q3 2016/17; whilst non-CSG webforms fell from

16,354 in Q2 2016/17 to 15,546 in Q3 2016/17. Service levels remain high with **97% of CSG webforms responded to within SLA.**

Human Resources

- 1.12 Sickness absence has reduced to 7.88 days in Q3 2016/17 (from 8.23 days in Q2 2016/17), but remains higher than the 6 days target. Sickness absence is particularly high in Adults and Communities at 9.55 days and Street Scene at 8.72 days.

Table 6: Sickness absence (Q3 2016/17)

	Average days lost per FTE (rolling 12 months)
Adults and Communities	9.55
Commissioning Group (incl. CE)	3.79
Family Services	7.63
Street Scene	8.72
Overall	7.88

Source: HR Dashboard (average over rolling 12 months)

Table 7: Staffing (Q3 2016/17)

	Headcount*
Adults and Communities	272
Commissioning Group	177
Family Services	566
Street Scene	476
Overall	1,491

**Excludes vacancies*

Source: HR Establishment Pack (average over 3 months)

- 1.13 There have been 458 agency staff working across the council on average each month during Q3 2016/17, with the highest numbers in Street Scene (176) and Family Services (156).

Table 8: Agency (Q3 2016/17)

	No. of agency staff
Adults and Communities	80
Commissioning Group	45
Family Services	156
Street Scene	176
Overall	458

Source: HR Establishment Pack (average over 3 months)

Agency expenditure has increased by £1.025m from the same period last year. The use of agency is consistent with the council's strategic approach to ensure business critical functions continue to operate and perform while going through significant change. This strategic approach reflects the council's

desire to reduce redundancies from the workforce. However, the council intends to reduce the current levels by developing and implementing tailored plans for each delivery unit to reduce the overall usage of and expenditure on agency staff. The most significant areas of agency spend are in Adults and Communities, Family Services and the Commissioning Group. See table 9 below.

Table 9: Expenditure on agency staff (Q3 2016/17)

Service	Q3 2016/17 £000	Q3 2015/16 £000
Adults and Communities	2,941	3,364
Assurance	31	147
Family Services	5,749	4,251
Children's Service DSG	8	347
Commissioning Group	3,512	2,606
HRA	36	16
Parking & Infrastructure	113	39
Street Scene	1,801	2,396
Total	14,191	13,166

SERVICE PERFORMANCE

- 1.14 An overview of service performance is shown in table 10 below. This refers to the basket of indicators set out in the council's key business plans (Corporate Plan, Commissioning Plans and Management Agreements) and contracts that help the council monitor operational performance. 315 indicators are reported in Q3 2016/17. 244 have been given a RAG rating and 223 indicators have been given a Direction of Travel (DOT) status.

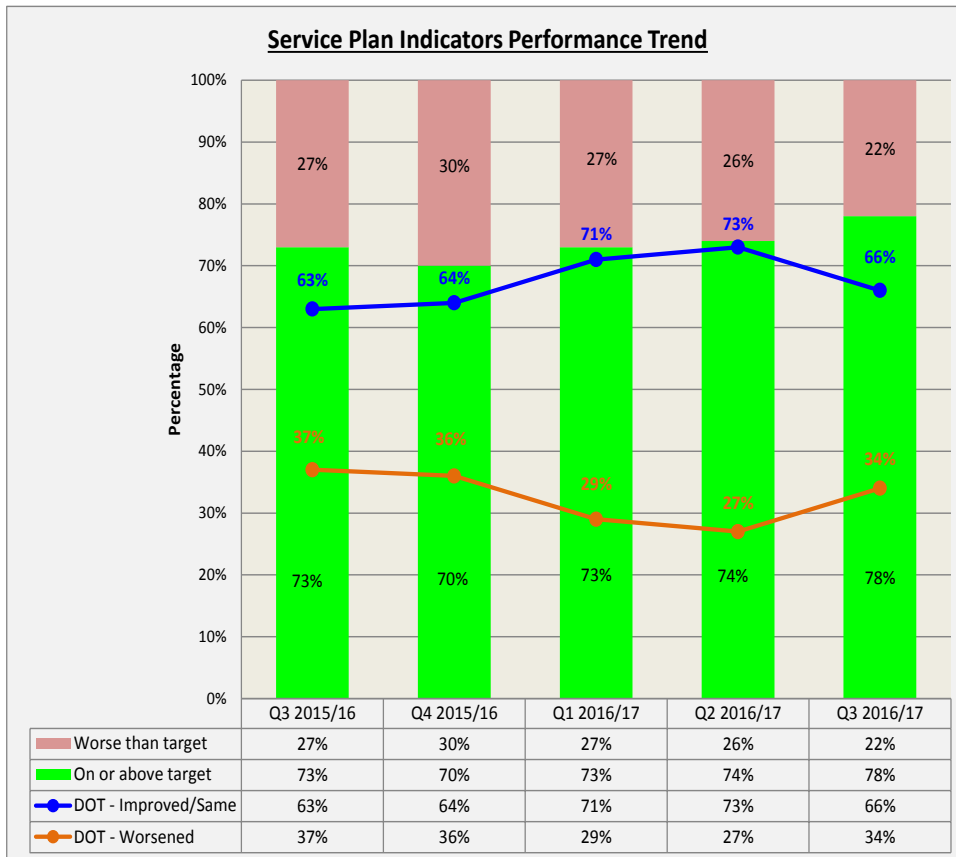
Table 10: Service indicators (Q3 2016/17)

Service	Green	Green Amber	Red Amber	Red	Improved/ Same	Worsened
Adults and Communities	50% (9)	22% (4)	6% (1)	22% (4)	75% (9)	25% (3)
Barnet Homes	81% (13)	13% (2)	0% (0)	6% (1)	69% (11)	31% (5)
Commissioning Group	71% (17)	25% (6)	4% (1)	0% (0)	54% (13)	46% (11)
Customer and Support Group (CSG)	100% (21)	0% (0)	0% (0)	0% (0)	89% (16)	11% (2)
Education and Skills	75% (9)	17% (2)	0% (0)	8% (1)	77% (10)	23% (3)
Family Services	71% (15)	19% (4)	5% (1)	5% (1)	82% (9)	18% (2)
HB Public Law	92% (11)	0% (0)	0% (0)	8% (1)	50% (6)	50% (6)
Mortuaries	0% (0)	0% (0)	0% (0)	0% (0)	0% (0)	0% (0)
Parking and Infrastructure	71% (5)	14% (1)	0% (0)	14% (1)	29% (2)	71% (5)
Public Health	86% (18)	0% (0)	0% (0)	14% (3)	61% (11)	39% (7)
Regional Enterprise (Re)	87% (45)	0% (0)	4% (2)	10% (5)	65% (31)	35% (17)
Registrar Service	67% (6)	11% (1)	0% (0)	22% (2)	33% (3)	67% (6)
Street Scene	55% (6)	36% (4)	9% (1)	0% (0)	70% (7)	30% (3)

Service	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
Your Choice Barnet (YCB)	80% (16)	10% (2)	0% (0)	10% (2)	76% (19)	24% (6)
Total	78% (191)	11% (26)	2% (6)	9% (21)	66% (147)	34% (76)

The percentage of service indicators “on or above target” (78%) has increased from Q2 2016/17 (74%), whilst the percentage of service indicators with an “improved or same” DOT (66%) has decreased from Q2 2016/17 (73%) - see chart 2 below.

Chart 2: Service indicators trend (Q3 2015/16 to Q3 2016/17)



Appendix B aligns the **performance, risk and finance** information for each service – focusing on the key successes and challenges; any service indicators that are “below target”; and revenue and capital budget variances. Further information can be found in the service reports on the website at www.barnet.gov.uk/currentperformance

Transformation programme

1.15 The council’s Transformation Programme consists of 88 projects required to deliver the Medium Term Financial Strategy and the Corporate Plan. The majority of projects within the Transformation Programme are on track to deliver to time, cost and quality.

- For **The Way We Work Programme**, a ground breaking ceremony took place at the new council office location on 5 December 2016, the ground

and first floor internal office layouts have been drafted and approved. A review has taken place into what can be done to assist staff in travelling to and from the Colindale offices and travelling for business purposes, informed by focus groups, a staff survey and best practice research.

- **Unified Reward** has been implemented for council staff to ensure a better overall package across the organisation and the first Unified Reward pay run to c.1,460 council staff was made with a zero error rate.
- The Investing in IT project within the **Adults and Health Portfolio** has moved from red to amber and considerable progress was made during December 2016. A clear plan to deliver training is being developed and system testing is nearing its start.
- The **Libraries Strategy** is in implementation phase with a number of key activities delivered; preferred Partnership Organisations have been selected and announced; Kisharon in partnership with Mencap is set to operate Childs Hill Library; Inclusion Barnet is to operate East Barnet and South Friern Libraries; and Mill Hill Library will be operated by NW7 Hub.
- A number of key milestones have been met in the **Environment Portfolio** this quarter particularly in relation to Depot Moves; Passenger Transport Services and Barnet Community Transport Service have been successfully relocated to North London Business Park, and part of the Highways (winter gritting and DLO) Service has been successfully relocated to Harrow.
- A number of completions have been delivered as part of the **Growth and Development Portfolio**; in Regeneration, 210 homes have been completed at Millbrook Park and the handover of St Peter's Church and vicarage has taken place on Stonegrove, concluding the very final parcel of land transfer on this scheme. Re have exceeded their annual target for apprentices employed on regeneration activities, with 45 apprentices that started on site in December 2016.
- Progress continues to be made across a number of projects and overall the **Education Capital Programme** is on target to achieve pupil places when required. Works are underway to expand Monkfrith primary and St Mary's and St Johns all-through school.

More information can be found in Appendix B.

Other Finance

General Fund Balance

- 1.16 Directors are accountable for any budget variations within their services and ensuring that expenditure and income are managed within agreed budgets. To make sure that this is achieved, it is essential that Directors develop action plans to address forecast variances and review these throughout the financial year. If the current forecast overspends cannot be addressed in year, or alternative savings or funding sources identified to offset these, the council's

General Fund balances would need to be used to fund the variation at the end of the financial year as set out in table 11 below.

Table 11: General Fund Balance

	£000
General Fund Balance brought forward 31 March 2016	(12,543)
Budgeted use of balance	-
Forecast outturn variation	7,706
Projected General Fund Balance 31 March 2017	(4,837)¹⁰

The recommended limit for the council's General Fund balance is £15m and therefore the final revenue outturn results in the balance being £10.163m below this recommended limit. However, funding of approximately £5m will be transferred to the General Fund balance from reserves, including the risk reserve which was primarily held to mitigate the impact of not recovering the principal invested in Icelandic banks, as that money has been recovered. The council's Medium Term Financial Strategy must ensure that the General Fund balance is replenished as necessary throughout the year as a reduced balance would not be sustainable given the risks the council faces over the short to long term.

Housing Revenue Account

- 1.17 The Housing Revenue Account (HRA) has a budgeted contribution to reserves of £1.246m. The projected outturn is a surplus of £1.131m, largely due to increased rental and service charge income from the building of 40 new units, and a slower than expected removal of units through the regeneration programme.

Table 12: Housing Revenue Account outturn (Q3 2016/17)

	Original Budget £000	Revised Budget £000	Q3 Projected Outturn £000	Variance from Revised Budget Adv/(fav) £000	Variance from Revised Budget Adv/(fav) %
Housing Revenue Account surplus before transfer from balances	(1,246)	(1,246)	(2,377)	(1,131)	90.8
Budgeted contribution to reserves	1,246	1,246	1,246	-	-
Housing Revenue Account projected surplus after transfer to reserves	-	-	(1,131)	(1,131)	N/A

The HRA projected balance as at 31 March 2017 is £11.196m, as shown in table 13 below

¹⁰ This is prior to the expected transfer from the risk and other reserves, which will take the balance to £10m.

Table 13: Housing Revenue Account balance

	£000
Housing Revenue Account Balance brought forward 1 April 2016	(8,819)
Budgeted contribution to reserves	(1,246)
Projected in year surplus	(1,131)
Projected Housing Revenue Account Balance 31 March 2017	(11,196)

Dedicated Schools Grant

- 1.18 The Dedicated Schools Grant (DSG) has a budgeted use of £1.589m of balances in 2016/17. The projected outturn is a zero variance from budget.

The DSG projected balance as at 31 March 2017 is £3.430m.

The impact on the Dedicated Schools Grant balance is shown in table 14 below.

Table 14: Dedicated Schools Grant balance

	£000
DSG Balance brought forward 1 April 2016	(5,019)
Budgeted use of balance	1,589
Projected in year surplus	-
Projected DSG Balance 31 March 2017	(3,430)

Provisions

- 1.19 Provisions are made where an event has taken place that gives the council a legal or constructive obligation that requires settlement by a transfer of economic benefits or service potential and a reliable estimate can be made of the amount of the obligation. For example, the council is required to make provision for appeals that may be received from business ratepayers against their business rates charges. As at 1 April 2016 the council held provisions of £14.255m and forecasts to have a balance of £14.577m as at 31 March 2017.

Table 15: Provisions

	Provisions b/fwd 1 April 2016 £000	New Provisions Raised £000	Drawdown £000	Provisions Balance 31 December 2016 £000	Projected: In Year Draw Down £000	Projected: Year End Balance 31 March 2017 £000
Adults	699	434	(23)	1,110	-	1,110
Corporate (insurance provision)	8,850	-	-	8,850	-	8,850
Regional Enterprise (Re)	95	-	(45)	50	-	50
Commercial	117	-	-	117	-	117
Children's	54	-	-	54	(44)	10
Central (Business Rates Appeals)	4,440	-	-	4,440	-	4,440
Total	14,255	434	(68)	14,621	(44)	14,577

Reserves

- 1.20 The council has set aside specific amounts as reserves for future policy purposes or to cover contingencies. As at 1 April 2016 the council held reserves of £112.000m and projects to have a balance of £78.726m as at 31 March 2017.

Table 16: Reserves

Description	Reserves b/fwd 01 April 2016	Drawdown	In-year Increases	Reserves C/fwd 31 December 2016	Projected increases in Reserves to be approved	Projected In-year Drawdown	Projected Year End Balance 31 March 2017
	£000	£000	£000	£000	£000	£000	£000
Central - Capital Financing	3,191	-	-	3,191	-	(435)	2,756
Central - Community Infrastructure Levy	16,068	-	3,011	19,079	-	(5,650)	13,429
Central - Infrastructure	19,622	-	-	19,622	-	(9,490)	10,132
Central - Risk	9,099	-	-	9,099	-	(600)	8,499
Central - Service Development	10,582	(378)	-	10,203	1,820	(7,518)	4,505
Central - Transformation	12,653	-	-	12,653	-	(5,945)	6,708
Service - Other Central expenses	9,719	(600)	-	9,119	-	(3,500)	5,619
Service - Other Education & Skills	430	-	-	430	-	-	430
Service - Other Commissioning	8,234	(335)	-	7,899	-	-	7,899
Service - Other	3,101	(127)	-	2,974	400	(2,360)	1,014
Sub Total General Fund Earmarked Reserves	92,699	(1,440)	3,011	94,270	2,220	(35,498)	60,992
Service - DSG	5,269	-	-	5,269	-	-	5,269
Service - Housing Benefits	5,875	-	-	5,875	-	-	5,875
Service - NLSR	642	(47)	-	595	-	-	595
Service - PFI	4,265	-	-	4,265	-	-	4,265
Service - Public Health	1,336	-	-	1,336	-	(100)	1,236
Special Parking Account (SPA)	1,914	-	-	1,914	-	(1,420)	494
Sub-total Ring-fenced Reserves	19,301	(47)	-	19,254	-	(1,520)	17,734
Total Earmarked Reserves	112,000	(1,487)	3,011	113,524	2,220	(37,018)	78,726

Funding of Capital Programme

Table 17: Funding Movements in the 2016/17 Capital Programme

	Grants	S106 / Other Contributions	Capital Receipts	Revenue/ MRA	Borrowing	Capital Reserves	Total
	£000	£000	£000	£000	£000	£000	£000
Adults and Communities	-	-	341	-	-	-	341
Commissioning Group	-	-	(8,516)	(91)	(6,004)	(1,806)	(16,417)
Education and Skills	(9,105)	(3,768)	(2,165)	-	(16,338)	-	(31,376)
Family Services	-	-	81	-	(4,220)	-	(4,139)
Housing Needs Resources	-	-	(57)	-	(5,056)	-	(5,113)
Parking and Infrastructure	-	-	-	(11)	(100)	(150)	(261)
Regional Enterprise	(641)	(1,791)	60	(6)	(9,660)	(14,557)	(26,594)
Street Scene	-	-	-	(437)	(192)	-	(629)
General Fund Programme	(9,746)	(5,559)	(10,256)	(545)	(41,570)	(16,513)	(84,188)
HRA	-	-	(702)	130	-	-	(572)
Total Capital Programme	(9,746)	(5,559)	(10,958)	(415)	(41,570)	(16,513)	(84,760)

Treasury outturn

- 1.21 In compliance with the requirements of the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice this report provides Members with a summary report of the treasury management activity during the period to 31 December 2016. The Prudential Indicators have not been

breached and a prudent approach has been taken in relation to investment activity with priority being given to security and liquidity over yield. Further details of compliance with prudential indicators are contained in Appendix F.

The Local Government Act 2003 requires the council to set an Affordable Borrowing Limit (the Authorised limit) irrespective of its indebted status. This is a limit which should not be breached. During the period to 31 December 2016, there were no breaches of the Authorised Limit and the Operational Boundary.

The council's timeframes and credit criteria for placing cash deposits and the parameters for undertaking any further borrowing are set out in the Treasury Management Strategy (TMS). The TMS Strategy for 2016/17 was approved by Council on 1 March 2016. The Treasury Management Strategy requires regular compliance reporting to this committee to include an analysis of deposits made during the review period. This also reflects good practice and will serve to reassure this committee that all current deposits for investment are in line with agreed principles as contained within the corporate Treasury Management Strategy.

This report therefore asks the committee to note the continued cautious approach to the current investment strategy.

Investment performance

- 1.22 Investment deposits are managed internally. As at 31 December 2016, deposits outstanding were £107.0 million, achieving an average annual rate of return of 0.46 per cent against a benchmark average (London Interbank Bid Rate - LIBID) of 0.41 per cent. The list of deposits outstanding as at 31 December 2016 is attached as Appendix G and summarised in table 18 below.

Table 18: Investments as at 31 December 2016

Summary of Investments as at 31 December 2016	£'000
Local Authorities	5,000
Money Market Funds	22,800
UK Banks and Building Societies	79,192
Non UK Banks and UK Building Societies	-
TOTAL	106,992

The benchmark, the average 7-day LIBID rate, is provided by the authority's treasury advisors Capita Asset Services. The LIBID rate is the rate that a Euromarket bank is willing to pay to attract a deposit from another Euromarket bank in London.

Debt management

- 1.23 The total value of long term loans as at 31 December 2016 was £304.08m. There has been no external borrowing in the financial year to date. The average rate for total borrowing for the quarter ending 31 December 2016 was 3.89 per cent.

2 REASONS FOR RECOMMENDATIONS

- 2.1 These recommendations are to allow the council to meet the budget agreed by Council on 1 March 2016.

3 ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 None.

4 POST DECISION IMPLEMENTATION

- 4.1 None.

5 IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

- 5.1.1 This report presents the performance of the council at meeting the measures of success for the Corporate Plan. This report also includes performance indicators for the delivery of services by the council, such as the performance of Delivery Units, Service Providers and partners.

- 5.1.2 The past four years of performance information is available at: www.barnet.gov.uk/performance

- 5.1.3 Robust budget and performance monitoring are essential to ensure that there are adequate and appropriately directed resources to support delivery and achievement of council priorities and targets as set out in the Corporate Plan. In addition, adherence to the Prudential Framework ensures capital expenditure plans remain affordable in the longer term and that capital resources are maximised.

- 5.1.4 Relevant council strategies and policies include the following:

- Corporate Plan 2015-2020
- Corporate Plan - 2016/17 Addendum
- Medium Term Financial Strategy
- Treasury Management Strategy
- Debt Management Strategy
- Insurance Strategy
- Risk Management Strategy
- Capital, Assets and Property Strategy.

- 5.1.5 The priorities of the council are aligned to the delivery of the Health and Wellbeing Strategy.

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

- 5.2.1 Robust budget and performance monitoring plays an essential part in enabling an organisation to deliver its objectives efficiently and effectively.

5.3 Legal and Constitutional References

5.3.1 Section 151 of the Local Government Act 1972 states that: “without prejudice to section 111, every local authority shall make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has responsibility for the administration of those affairs”. Section 111 of the Local Government Act 1972, relates to the subsidiary powers of local authorities.

5.3.2 Section 28 of the Local Government Act 2003 (the Act) imposes a statutory duty on a billing or major precepting authority to monitor, during the financial year, its income and expenditure against the budget calculations. If the monitoring establishes that the budgetary situation has deteriorated, the authority must take such action as it considers necessary to deal with the situation. Definition as to whether there is deterioration in an authority’s financial position is set out in sub-section 28(4) of the Act.

5.3.3 The council’s Constitution, in Part 15 Annex A, Responsibility for Functions, states in Annex A the functions of the Performance and Contract Management Committee including:

- a) Overall responsibility for quarterly budget monitoring, including monitoring trading position and financial strategy of council Delivery Units.
- b) Monitoring of Performance against targets by Delivery Units including Adults and Communities; Assurance; Barnet Homes;; Commissioning Group; Customer and Support Group; Education and Skills Family Services; HB Public Law; Mortuaries, NSL (Parking Contractor); Public Health; Re; Registrars, Street Scene; and YCB.
- c) Receive and Scrutinise contract variations and change requests in respect of external delivery units.
- d) To make recommendations to Policy and Resources and Theme Committees on relevant policy and commissioning implications arising from the scrutiny of performance of Delivery Units and External Providers.
- e) Specific responsibility for the following function within the council:
 - a. Risk Management
 - b. Treasury Management Performance
- f) Note the Annual Report of the Barnet Group Ltd.

5.3.4 The council’s Constitution, Part 21, Financial Regulations section 4. paragraphs 4.4.9 - 11 state:

- Allocations from the central contingency relating to planned developments will be approved by the Chief Finance Officer (section 151 officer), in consultation with the Chairman of the Performance and Contract Management Committee, following the receipt from a Chief Officer of a fully costed proposal to incur expenditure that is in line with planned development (including full year effect).

Where there is a significant increase in the full year effect, the contingency allocation must be approved by the Performance and

Contract Management Committee.

- Allocations from the central contingency for unplanned expenditure, including proposals to utilise underspends previously generated within the service and returned to central contingency, will be approved by the Chief Finance Officer in consultation with the Chairman of Performance and Contract Management.
Where there are competing bids for use of underspends, additional income or windfalls previously returned to central contingency, priority will be given to the service(s) that generated that return.
- Allocations for unplanned expenditure over £250,000 must be approved by Performance and Contract Management Committee.

5.3.5 The Chief Finance Officer (section 151 officer) will report in detail to Performance and Contract Management Committee at least four times a year, at the end of each quarter, on the revenue, capital budgets and wider financial standing.

5.3.6 The council's Constitution, Part 21, Financial Regulations section 4 paragraph 4.4.3 states amendments to the revenue budget can only be made with approval as per the scheme of virement table below:

Virements for allocation from contingency for amounts up to £250,000 must be approved by the Section 151 Officer in consultation with appropriate Chief Officer
Virements for allocation from contingency for amounts over £250,000 must be approved by Policy and Resources Committee
Virements within a service that do not alter the bottom line are approved by Service Director
Virements between services (excluding contingency allocations) up to a value of £50,000 must be approved by the relevant Chief Officer
Virements between services (excluding contingency allocations) over £50,000 and up to £250,000 must be approved by Chief Officer and Chief Finance Officer in consultation with the Chairman of the Policy and Resources Committee and reported to the next meeting of the Policy and Resources Committee
Virements between services (excluding contingency allocations) over £250,000 must be approved by Policy and Resources Committee
Capital Virements
Performance and Contract Management approval is required for all capital budget and funding virements and yearly profile changes (slippage or accelerated spend) between approved capital programmes i.e. as per the budget book. The report must show the proposed: <ul style="list-style-type: none"> i) Budget transfers between projects and by year; ii) Funding transfers between projects and by year; and iii) A summary based on a template approved by the Section 151 Officer
Funding substitutions at year end in order to maximise funding are the responsibility of the Section 151 Officer.

5.4 Risk Management

- 5.4.1 Various projects within the council's revenue budget and capital programme are supported by time-limited grants. Where there are delays to the implementation of these projects, there is the risk that the associated grants will be lost. If this occurs either the projects will be aborted or a decision to divert resources from other council priorities will be required.
- 5.4.2 The revised forecast level of balances needs to be considered in light of the risk identified in 5.4.1 above.

5.5 Equalities and Diversity

- 5.5.1 The Equality Act 2010 requires organisations exercising public functions to demonstrate that due regard has been paid to equalities in:
- Elimination of unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010.
 - Advancement of equality of opportunity between people from different groups.
 - Fostering of good relations between people from different groups.
- 5.5.2 The Equality Act 2010 identifies the following protected characteristics: age; disability; gender reassignment; marriage and civil partnership, pregnancy and maternity; race; religion or belief; sex and sexual orientation.
- 5.5.3 In order to assist in meeting the duty the council will:
- Try to understand the diversity of our customers to improve our services.
 - Consider the impact of our decisions on different groups to ensure they are fair.
 - Mainstream equalities into business and financial planning and integrating equalities into everything we do.
 - Learn more about Barnet's diverse communities by engaging with them.

This is also what we expect of our partners.

- 5.5.4 This is set out in the council's Equalities Policy together with our strategic Equalities Objective - as set out in the Corporate Plan - that citizens will be treated equally with understanding and respect; have equal opportunities and receive quality services provided to best value principles.
- 5.5.5 Progress against the performance measures we use is published on our website at:
www.barnet.gov.uk/info/200041/equality_and_diversity/224/equality_and_diversity

5.6 Consultation and Engagement

- 5.6.1 During the process of formulating budget and Corporate Plan proposals for 2015/20 onwards, three phases of consultation took place:

Phase	Date	Summary
Phase 1: Setting out the challenge	Summer 2013	The council forecast that its budget would reduce by a further £72m between 2016/17 and 2019/20, setting the scene for the PSR consultation
Phase 2: PSR consultation to inform development of options	October 2013 - June 2014	Engagement through Citizen's Panel Workshops which focused on stakeholder priorities and how they would want the council to approach the Priorities and Spending Review An open 'Call for Evidence' asking residents to feedback ideas on the future of public services in Barnet.
Phase 3: Engagement through Committees	Summer 2014	Focus on developing commissioning priorities and MTFs proposals for each of the 6 committees Engagement through Committee meetings and working groups
Phase 4: Strategic Plan to 2020 Consultation	December 2014 – March 2015	A series of 6 workshops with a cross section of residents recruited from the Citizens Panel and Youth Board, plus two workshops with users ¹¹ of council services. An online survey (17 December 2014 – 11 February 2015)

¹¹ One "service user" workshop was for a cross section of residents who are users of non-universal services from across the council. The second workshop was for adults with learning disabilities.

6 BACKGROUND PAPERS

- 6.1 Performance and Contract Management Committee, 12 May 2015 (Decision Item 7) – approved Final Outturn and Quarter 4 Monitoring Report 2014/15
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=693&MId=7873&Ver=4>
- 6.2 Council, 3 March 2015 (Decision item 12) – approved Business Planning 2015/16 – 2019/20, including the Medium-Term Financial Strategy.
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=7865&Ver=4>
- 6.3 Council, 14 April 2015 (Decision item 13.3) – approved Corporate Plan 2015-20.
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=7820&Ver=4>
- 6.4 Council, 4 April 2015 (Decision item 13.1) – approved 2016/17 addendum to Corporate Plan
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=8344&Ver=4>

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Appendix A (i): List of indicators in Appendices A and B (Q3 2016/17)

Reference	Title	Type	Appendix
Adults and Communities.			
AC/S3	Percentage of adults with learning disabilities who live in their own home or with their family	CPI	A
AC/S4	Percentage of adults with learning disabilities in paid employment	CPI	A
AC/S5	Percentage of adults with mental health needs in paid employment	CPI	A
AC/S6	Percentage of adults with mental health needs who live independently, with or without support	CPI	A
AC/S8	Percentage of new clients, older people accessing enablement	CPI	A
AC/S9	Permanent admissions to residential and nursing care homes, per 100,000 population age 65+	CPI	A
AC/S16	Proportion of service users with a direct payment	SPI	B
AC/S21	Number of carers' assessments (resulting in information/advice or services)	MPI	B
AC/S29	Number of instances of information, advice and guidance provided to carers	CPI	A
AC/C10	Percentage of clients receiving an ongoing package of care reviewed	MPI	B
AC/C12	Number of delayed transfers of care from hospital per 100,000 population (aged 18+) which are attributable to both NHS and Adult Social Care	MPI	B
AC/C14	Permanent admissions to residential and nursing care homes, per 100,000 population age 18-64*	CPI	A
Barnet Homes			
BH/S2	Number of Homelessness Preventions	CPI	A
BH/S3 (LY: BH/S4)	Current tenant arrears as a percentage of the annual rent debit	CPI	A
BH/C2 (LY: BH/C6)	Households placed directly into the private sector by Barnet Homes	CPI	A
BH/C5 (LY: BH/S5)	Temporary Accommodation (TA) current arrears as percentage of debit	CPI	A
BH/C10 (LY: BH/C12)	Percentage of dwellings with a valid gas safety certificate	KPI	B
BH/KPI 1 (LY: BH/C4)	Total number of Households in Temporary Accommodation	CPI	A
Cambridge Education.			
CES/S1	Percentage of primary schools rated as 'good' or better	CPI	A
CES/S2	The percentage of pupils in primary schools judged as good or better by Ofsted	CPI	
CES/S3	Percentage of secondary schools rated as 'good' or better	CPI	A
CES/S11-1	Percentage of pupils eligible for free school meals in the past 6 years (FSM6) achieving the 'expected standard' in English Reading, English Writing and Mathematics (combined) at the end of Key Stage 2	CPI	A
CES/S13-1	Average Attainment 8 score	CPI	A
CES/S13-2	Average Progress 8 score	CPI	A
CES/S18-1	Percentage of 16-18 year olds who are not in education, employment or training	CPI	A

Reference	Title	Type	Appendix
CES/S18-2	Combined percentage of 16-18 year olds who are not in education, employment of training and those whose current activity is not known to the local authority	SPI	B
CES/S24	Percentage of primary pupils achieving the 'expected standard' in English Reading, English Writing and Mathematics (combined) at the end of Key Stage 2	CPI	A
CES/S25	Percentage attendance levels at primary schools	CPI	A
Commissioning Group			
CG/S1	Unemployment	CPI	A
CG/S3	Decrease in the level of crime across the Mayor's Office for Policing And Crime set of crimes	CPI	A
CG/S5 (RPS)	Percentage of residents who report feeling they belong to their local area	CPI	A
CG/S6 (RPS - Biannual)	Percentage of residents who list affordable housing as a concern	CPI	A
CG/S11 (RPS - Biannual)	Percentage of residents who are satisfied with the repair of roads	CPI	A
CG/S12 (RPS - Biannual)	Percentage of residents who are satisfied with the quality of pavements	CPI	A
CG/S14 (RPS - Biannual)	Percentage of residents who are satisfied with the way the Council runs things	CPI	A
CG/S15	Performance of services	CPI	A
CG/S16 (RPS - Biannual)	Percentage of residents who are satisfied with Barnet as a place to live	CPI	A
CG/S18 Biannual	Percentage of respondents very or fairly satisfied with the service provided by their social housing provider (Barnet Homes)	CPI	A
CG/S22	Council Tax collection	CPI	A
CG/S23	Business rate collection	CPI	A
CG/S24	Overall satisfaction with customer services	CPI	A
CG/S25	Satisfaction with the council's website	CPI	A
CG/S26	Customer cases that are closed within the agreed timescales	CPI	A
CG/S27	Percentage of total spend with local businesses	CPI	A
CG/C17	Percentage of residents who are concerned about traffic congestion	SPI	B
CG/C23	Sickness absence	MPI	B
CG/C24	Running costs of estate (designated civic buildings only)	SPI	B
Customer and Support Group (CSG)			
	None for Quarter 3		
Family Services.			

Reference	Title	Type	Appendix
FS/S1	Number of children made subject to Child Protection Plans	CPI	A
FS/S2	Children made subject to Child Protection Plan for a second or subsequent time	CPI	A
FS/S3	Number of children subject to Child Protection Plans for two or more years	CPI	A
FS/S4	Number of referrals to social care (per 10,000 of the under-18 population)	CPI	A
FS/S5	Number of children adopted	CPI	A
FS/S6	Percentage of children in London Borough of Barnet foster care	CPI	A
FS/S7	Percentage of free entitlement early years places taken up by parents/ carers that are eligible for a place	CPI	A
FS/S8	Percentage of the target groups that are registered with the children centre within the area it serves	CPI	A
FS/S15	Percentage of care leavers age 19 – 21 in education, employment or training	CPI	A
FS/S16	Number of children in care per 10,000	CPI	A
FS/S18	Proportion of care leavers age 19 – 21 in suitable accommodation	CPI	A
FS/C18	Percentage of children in care with three or more placements during the last 12 months	SPI	B
FS/C26	% of CLA visits taken place within timeframes	MPI	B
FS/C37	Percentage of CLA who have had a timely initial health assessment in the last 6 months	MPI	B
FS/C38	Percentage of CLA who have had a health timely assessment (under 5 6 months, over 5 annual)	MPI	B
FS/C39	Percentage with dental checks in the previous 12 months	MPI	B
HB Public Law.			
HBL001 (HBPL/C1)	Acknowledge emails within 1 working day	KPI	B
Parking Services.			
PI/S3 (RPS)	Percentage of residents who are satisfied with parking services	CPI	A
PI/C3	Parking - Response processing in time: Response provided within legislative timescales in relation to correspondence	SPI	B
Public Health.			
PH/S4	Rate of hospital admissions related to alcohol	CPI	A
PH/S5	Smoking prevalence	CPI	A
PH/C14	Representations – opiates users	SPI	B
PH/C15	Representations – non-opiates users	SPI	B
Re.			
EH01B	Compliance with Environmental Health Service Standards (Priority 1 incidents and service requests).	CPI	A
EH021	Compliance with Licensing Requirements for Houses in Multiple Occupation (HMOs) - Licenced HMOs meeting legal standards	CPI	A
KPI 1.1 NM	Annual programme relating to Highway Safety Inspections	KPI	B
KPI 2.3 NM	Category 2 Defects Rectification Timescales completed on time	KPI	B
KPI 2.8 NM	Timely construction of Vehicle Crossovers following receipt of payment	KPI	B
KPI001	Meet building regulation application within statutory	KPI	B

Reference	Title	Type	Appendix
	timescales		
KPI001 (A&A)	Compliance with planning application statutory timescales (for major, minor, other applications)	CPI	A
KPI NM 2.1	Highways defects made safe (composite indicator - KPI 2.1-2.3NM)	CPI	A
NM KPI 2.2	Category 1 Defects Rectification Timescales completed on time (48 hours)	KPI	B
KPI 2.4 NM	Highways Insurance Investigations completed on time	KPI	B
REGENKPI01 (Re/S11)	Number of New Homes completed	CPI	A
Registrar			
R/1	Percentage of births registered within 42 working days of request	KPI	B
R/3	Percentage of deaths registered within 5 working days of request	KPI	B
R/4	Percentage of Marriage/Civil Partnership notices appointments offered within 10 working days of request	KPI	B
Street Scene			
SS/S1 (RPS - Biannual)	Percentage of residents who are satisfied with parks and open spaces	CPI	A
SS/S3	Percentage of household waste sent for reuse, recycling and composting	CPI	A
SS/S4 (RPS - Biannual)	Percentage of residents who are satisfied with refuse and recycling services	CPI	A
SS/S6 (RPS - Biannual)	Percentage of residents who are satisfied with street cleaning	CPI	A
SS/S7	Percentage of unacceptable levels of litter	CPI	A
SS/S8	Percentage of unacceptable levels of detritus	CPI	A
SS/C1	Waste tonnage – residual per household	SPI	B
SS/C2	Waste tonnage – recycling per household	SPI	B
YCB.			
YCB 11	Agency staff	KPI	B
YCB 12	Accident Incident Rate	KPI	B
YCB 19	New referrals from other local authorities.	KPI	B
YCB 23	Service utilisation	KPI	B

Key:

CPI	Corporate Plan Indicator
SPI	Commissioning Plan Indicator
MPI	Management Agreement Indicator
KPI	Contract Performance Indicator

Appendix A (ii): Corporate Plan Performance (Quarter 3 2016/17)

This appendix sets out **performance** information for each of the strategic priorities in the refreshed Corporate Plan – highlighting progress on the council’s key areas of focus; and commentary on indicators that are “below target” (RAG rated as Green Amber, Red Amber or Red)¹. Further information, including full service reports, is published on the website each quarter at www.barnet.gov.uk/currentperformance

80 indicators are in the refreshed Corporate Plan. Of these, 62 have been reported in Q3 2016/17. 45 have been given a RAG rating: 62% (28) are “on or above target” and 38% (17) are “below target”. 47 have been given a Direction of Travel (DOT) status: 66% (31) have an “improved or same” DOT and 34% (16) have a “worsened” DOT from the same period last year.

Strategic priority	No. reported (Q3)	No. with a RAG rating (Q3)	RAG Ratings				Monitor / NYA	No. with a DOT (Q3)	Long Term Direction of Travel	
			Green	Green Amber	Red Amber	Red			Improved / Same	Worsened
Growth and regeneration	11	7	71% (5)	14% (1)	0% (0)	14% (1)	4	10	60% (6)	40% (4)
Managing demand	25	20	55% (11)	20% (4)	10% (2)	15% (3)	5	17	65% (11)	35% (6)
Transforming services	13	7	57% (4)	29% (2)	0% (0)	14% (1)	6	7	57% (4)	43% (3)
Resilient communities	6	6	83% (5)	17% (1)	0% (0)	0% (0)	0	6	83% (5)	17% (1)
Customer service and transparency	7	5	60% (3)	20% (1)	20% (1)	0% (0)	2	7	71% (5)	29% (2)
Total	62	45	62% (28)	20% (9)	7% (3)	11% (5)	17	47	66% (31)	34% (16)

¹ Public Health indicators are reported a quarter in arrears, so refers to Quarter 2 2016/17

Responsible growth and regeneration

Key area of focus	Description	Q3 2016/17 Progress Update
Growth and regeneration programme	Building more than 20,000 new homes by 2025 – the most in outer London – across our seven major growth and regeneration sites	<p>Significant progress has been made on the growth and regeneration programme this quarter, with the completion of 60 homes at Grahame Park and 210 homes at Millbrook Park, including 51 affordable homes for social rent and shared ownership.</p> <p>On 1 December 2016, Policy and Resources Committee authorised the drafting of a Supplementary Planning Document for North Finchley Town Centre Area Framework, in consultation with stakeholders.</p> <p>The final parcel of land (St Peters Church and the Vicarage) has been transferred to the developer, as part of the Stonegrove Spur Road scheme. A solution has been identified for the acquisition of properties within the Dollis Valley scheme to resolve the problem of a compulsory purchase order that will expire in January 2018. This will avoid the need to seek a further order.</p>
Sport and physical activity	Designing the 'built environment' to help people keep fit and active, and investing in new leisure centres	<p>Graham Construction has been appointed, as part of the Construction Strategic Partnership Agreement. Graham Construction has commenced Stage 4 of the RIBA Plan of Work process for the proposed new leisure centres, and a full review is currently progressing to develop a forward programme in 2017. Meetings to finalise the pre-construction services agreement are also ongoing.</p> <p>Full Council has approved a recommendation to maintain the core facilities mix at Barnet Copthall Leisure Centre as agreed in December 2015, with an approved amendment from the Leader to support construction of a regional facility through provision of land and £500k, and with the support of public funding.</p> <p>The leisure management procurement has commenced, an evaluation and moderation process has taken place and successful bidders have been invited to the outline solution stage, which will commence in January 2017.</p>
Entrepreneurial Barnet	<p>Creating the conditions for a thriving local labour market;</p> <p>Investing in town centres (focusing on Burnt Oak and Finchley Church End).</p>	<p>A pop-up business school has been held with good outcomes for local entrepreneurs. This has been delivered through a partnership of Hammersons, Barnet and Southgate College, and Microsoft. Re has secured places for 45 apprentices in its regeneration activities, exceeding the annual target of 15. The apprentices started on site by December 2016.</p> <p>The Finchley Church End draft Town Centre Strategy has been published for public consultation, closing on 15 January 2017. This follows a consultation event in November 2016.</p> <p>The consultation on Burnt Oak Town Centre Strategy has received a small number of positive responses. Infrastructure improvements will now commence.</p> <p>The specification for Golders Green Town Centre Strategy will be put out to market in January 2017.</p>

Key area of focus	Description	Q3 2016/17 Progress Update
	Ensuring that businesses can access information about the council easily and at first contact	Development of the Barnet Business Directory has progressed. In addition, plans have been put in place for a "Business Portal" to make business transactions with the council easier and more joined up, which will be delivered as part of the Customer Access Strategy.
Health estates pilot	Looking at how to optimise the use of health and care estate across the sub-region and identify surplus health estate land for development and regeneration.	The North Central London (NCL) Sustainability and Transformation Plan (STP) partnership covers five London boroughs: Barnet, Camden, Enfield, Haringey and Islington. This new partnership has been formed to support the development of the STP and a bid for estates devolution. The vision for the NCL estate is to provide a fit for purpose, cost-effective, integrated, accessible estate that enables the delivery of high quality health and social care services for local residents. The pilot outline business case has been submitted to the London Health and Care Devolution Programme; and the London Estates Board has met in shadow form as a step towards implementation.
One public estate	Encouraging local authorities to work collaboratively with central government and local agencies on public property and land issues	A high-level masterplan report on Edgware Community Hospital has been considered by the One Public Estate Board. The Board will also consider the Urban Design and Public Realm study report in relation to Edgware Town Centre in February 2017. Phase 3 is expected to be completed in the same month. An application for funding for Phase 5 was submitted to the Cabinet Office Government Property Unit in October 2016, for £500k. Phase 5 will have four workstreams: West Hendon Broadway, New Southgate, the Colindale Public Health England site, and the London Gateways Services site. The result of the bid will be known at the end of January 2017.

11 indicators are reported in Q3 2016/17. Of these, 7 have been given a RAG rating: **71% (5)** are "on or above target" and **28% (2)** are "below target". 10 have been given a Direction of Travel (DOT) status: **60% (6)** have an "improved/same" DOT and **40% (4)** have a "worsened" DOT from the same period last year.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
<i>Growth and regeneration programme</i>											

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
CG/S6 (RPS - Biannual)	Percentage of residents who list affordable housing as a concern ²	Smaller is Better	Monitor	Monitor	34% (Autumn 2016)	41% (Spring 2016)	Improving	36% (Autumn 2015)	Improving	London 23% (November 2014, Survey of Londoners)	
REGENK PI01 (Re/S11)	Number of New Homes completed	Bigger is Better	3152	Monitor	509	192	Improving	117	Improving	No benchmark available	
High quality private rented sector											
BH/C2 (LY: BH/C6)	Households placed directly into the private sector by Barnet Homes	Bigger is Better	500	375	454 (Apr-Dec 2016) (G)	318	Improving	359	Improving	No benchmark available	
EH02I	Compliance with licensing requirements for Houses in Multiple Occupation	Bigger is Better	100%	60.0%	68.4% (G)	68.7%	Worsening	73.2%	Worsening	No benchmark available	
Social housing											

² A representative sample of 500 residents (adults, 18+) from across the London Borough of Barnet. Confidence intervals for a sample of 500 = +/-4.4% (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). London data taken from Survey of Londoners 2014/15 (November 2014) - a representative random sample of approximately 1,000 adults in London. National data taken from LGA public poll on resident satisfaction (October 2016) – a representative random sample of approximately 1,000 British adults polled by telephone once a quarter.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
CG/S18 Biennial	Percentage of respondents very or fairly satisfied with the service provided by their social housing provider (Barnet Homes)	Bigger is Better	81%	81%	79% (GA)	Survey delivered on a biennial basis. Not undertaken in Q2 2016/17.	Survey delivered on a biennial basis. Not undertaken in Q2 2016/17.	81% (2014/15)	Worsening	London average 76% (2013-2016, Housemark) Survey of 19 London Boroughs	Whilst the target of 81% was not achieved, the result of 79% is within the 3% statistical margin of error tolerance applicable to surveys of this nature. The result places Barnet Homes in the top quartile against London peers based on benchmarking analysis provided by independent housing consultancy Housemark. A total of 1,054 surveys were returned, which have provided valuable intelligence in terms of the drivers for dissatisfaction and this data is being analysed to develop detailed plans for the areas of service in which residents most wish to see improvements.
BH/S3 (LY: BH/S4)	Current tenant arrears as a percentage of the annual rent debit	Smaller is Better	3.0%	3.8%	3.5% (Dec 2016) (G)	3.3%	Worsening	4.1%	Improving	Top Quartile (Q2 2016/17, Housemark)	

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
BH/C5 (LY: BH/S5)	Temporary Accommodation (TA) current arrears as percentage of debit	Smaller is Better	4.95%	5.79%	6.47% (Dec 2016) (R)	5.70%	Worsening	6.11%	Worsening	No benchmark available	The cash arrears were approximately £159k off target against a total annual collectable debit of £23.2m. Housing Benefit as a percentage of the rent collected is of concern this year with a continuous decline in HB receipts experienced since March 2016. An income maximisation plan is in place, focusing on early intervention for low level arrears cases to limit escalations.
Parks and open spaces											
SS/S1 (RPS - Biannual)	Percentage of residents who are satisfied with parks and open spaces ²	Bigger is Better	72%	72% (Autumn 2016)	72% (Autumn 2016) (G)	66% (Spring 2016)	Improving	67% (Autumn 2015)	Improving	London 68% (November 2014, Survey of Londoners)	
Entrepreneurial Barnet											
CG/S27	Percentage of council spend (excluding direct debits) with local businesses	Bigger is Better	Monitor	Monitor	32.0%	51.2%	Worsening	New for 2016/17	New for 2016/17	No benchmark available	
CG/S1	Unemployment (of people of out of work benefits)	Smaller is Better	Monitor	Monitor	5.2% (Jul 2015 - Jun 2016)	5.6% (Apr 2015 - Mar 2016)	Improving	6.2% (Jul 2014 - Jun 2015)	Improving	London 6.1% National 5.1% (Jul 2015 - Jun 2016, Nomisweb)	
Planning and building control											
KPI001 (A&A)	Compliance with planning application statutory timescales (for major, minor, other applications)	Bigger is Better	75.0%	75.0%	81.4% (G)	83.1%	Worsening	91.6%	Worsening	Newham 97%, Brent 70%, Enfield 83% Haringey 76% (Q4 2015/16, DCLG)	

Managing demand for services (Fairness)

Key area of focus	Description	Q3 2016/17 Progress Update
Health and social care integration	Helping the NHS manage the cost of A&E and hospital admissions through greater provision of primary and community care	The Barnet Integrated Locality Team (BILT) works across the borough to provide community based support to service users and patients who are at risk of an unplanned accident and emergency attendance or unplanned admission into an acute setting within the next 12 months. The team are part of a wider integrated care system that includes the use of targeted identification via risk stratification to identify those who can be supported, a rapid response team and 7-day social work at hospitals plus preventative services.
Older peoples independence	Working with older people to design and manage services that help them to be more independent	Plans have been developed to establish an Engagement Working Group under the council's Involvement Board, which will focus on dementia. The working group, consisting of service users and carers, will run during early 2017 and focus on the information needs of residents with regards to dementia, and the services and support available in the borough.
Foster care	Increasing the size and effectiveness of the in-house foster care service	As of December 2016, 47% of children in care were in council foster care, including kinship placements. Targeted recruitment work is planned to further increase the number of fostering households that can offer high quality local placements to Barnet's children in care. A significant amount of work has been undertaken to increase the size and effectiveness of the in-house foster care service e.g. increasing take-up of loft conversion grants to increase capacity/household numbers; and increasing the age band of children foster carers can accept, as well as the numbers of children, linked to approvals. A new fostering recruitment strategy will be created and will launch in April 2017.
Families early intervention	Working with partners to deliver early intervention for families	<p>The Early Intervention Project (EIP) products, principles and pathways have all been signed off. Roadshows have continued, with more planned across the early part of 2017. The systems supporting the web-based menu of interventions and the universal plus form are due to be live by April 2017.</p> <p>The number of open Common Assessment Frameworks (CAF) continues to grow, with 867 as of December 2016. Key partners such as schools, the private, voluntary and independent (PVI) sector and early years are both initiating and leading CAFs. Work continues to increase those initiated and led by health colleagues.</p> <p>Outcomes and outputs for partnership delivery of the EIP are to be monitored through a dashboard reported to the EIP strategic group from this term onwards.</p>

Key area of focus	Description	Q3 2016/17 Progress Update
Family friendly Barnet	Working with partners to make Barnet a family friendly borough	Good progress has been made against actions for the Children and Young People's Plan, which was signed off by the Children, Education, Libraries and Safeguarding Committee in Quarter 1 2016/17. The vision of the Plan is to make Barnet the most family friendly borough by 2020. A dashboard of indicators and an actions tracker have been developed to track progress towards meeting this vision, which aligns with new indicators for educational attainment and measures of resilience. A young people's survey has been undertaken, which ran alongside the residents perception survey, to assess how family friendly young people think Barnet currently is, with future surveys tracking any change in perception. The results and analysis of this will be available in February 2017.
Homelessness	Tackling rising demand for help with housing through work to prevent homelessness	<p>Homelessness demand remains higher than at the same point last year with 1,119 placements into temporary accommodation (TA) compared to 1,047 in 2015/16. However, despite this increased pressure on services, Barnet Homes' demand mitigation measures continue to deliver strong results. Let2barnet enabled a record 454 private sector lettings by the end of Quarter 3 2016/17 and is well on the way to achieving the annual target of 500. The number of homelessness preventions has also remained stable, with services already having delivered 720 preventions against an annual target of 900 for 2016/17. Numbers in emergency accommodation have fallen to 185, their lowest since April 2011.</p> <p>Despite these successes, demand for TA remains at peak levels with 2,861 households in such accommodation at the end of December 2016. To help relieve pressures, Barnet Homes has developed further proposals to help manage demand. For example, it has employed a TA reduction officer to pilot a scheme. In addition, new mitigation proposals to support TA reduction and homelessness preventions are being developed. Subject to funding these proposals will start to yield results in Quarter 1 2017/18. With potentially adverse changes to the TA subsidy system due to be implemented in 2017/18, progress made in reducing demand will have compound benefits next financial year.</p>
Specialist housing	Diversifying Barnet's accommodation so that it supports people to live independently	<p>Demolition has commenced at Moreton Close. Capital investment for an additional 125 extra care units has been agreed by the Policy and Resources Committee on 1 December 2016.</p> <p>Procurement of accommodation and support services has been completed. New services will be operational from 1 April 2017, including neighbourhood networks, Crash Pad, Mental Health Floating Support and Complex Needs.</p> <p>The early support evidence review has been completed, and provider events are scheduled for February 2017.</p>
Recycling and waste strategy	Developing strategy for achieving 50% target recycling rate by 2020	Expansion of recycling systems in flats has continued this quarter. The roll-out of 1100-litre bins for the Flats Recycling project commenced in November 2016 and is anticipated to continue until March 2017.

Key area of focus	Description	Q3 2016/17 Progress Update
Enforcement	Improving the overall approach to enforcement of enviro-crime	The Keep Barnet Clean trial has been operating very successfully, with almost 1300 fixed penalty notices being issued for littering. 15 people have been convicted for non-payment of their fixed penalty notice and ordered to pay £280 each. The fixed penalty notice for fly tipping has also been increased to its maximum level of £400, as agreed by the Environment Committee. During the quarter the Keep Barnet Clean trial also introduced the use of body-worn cameras for Environment Enforcement Officers.

25 indicators are reported in Q3 2016/17. Of these, 20 have been given a RAG rating: **55% (11)** are “on or above target” and **45% (9)** are “below target”. 17 have been given a Direction of Travel (DOT) status: **65% (11)** have an “improved/same” DOT and **35% (6)** have a “worsened” DOT from the same period last year.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where “below target”
Health and social care integration											
AC/S8	Percentage of new clients, older people accessing enablement	Bigger is Better	63.0%	63.0%	63.1% (G)	53.2%	Improving	62.1%	Improving	No benchmark available	
AC/S9 ASCOF2A (2)	Permanent admissions to residential and nursing care homes, per 100,000 population age 65+	Smaller is Better	530 (new method)	363.8	262.0 (G)	169.7	Worsening	New method 2016/17	New method 2016/17	CIPFA 445.2 London 516.5 (2015/16, ASCOF)	
AC/C14 (ASCOF 2A(1))	Permanent admissions to residential and nursing care homes, per 100,000 population age 18-64*	Smaller is Better	16.60	10.10	8.50 (G)	5.10	Worsening	New method 2016/17	New method 2016/17	Group Average 1.1 (Q1 2016/17, LAPS)	
PH/S4	Rate of hospital admissions related to alcohol (per 100,000) ¹	Smaller is Better	400.00	400.00 (Q2 2016/17)	310.35 (Q2 2016/17) (G)	424.90 (Q1 2016/17)	Improving	404.78 (Q2 2015/16)	Improving	No benchmark available	

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
Experience of service users											
AC/S29	Number of instances of information, advice and guidance provided to carers	Bigger is Better	3000	2250	2584 (G)	1649	Improving	New for 2016/17	New for 2016/17	No benchmark available	
Older people's independence											
AC/S3 (ASCOF 1G)	Percentage of adults with learning disabilities who live in their own home or with their family	Bigger is Better	63.00%	63.00%	62.42% (GA)	65.93%	Worsening	61.80%	Improving	CIPFA 68.8% London 70.1% (2015/16, ASCOF)	The shortfall in performance will be addressed via ongoing reviews with service users and their families, at which different accommodation options are explored. The service is also working with Barnet Homes to ensure regular referrals into appropriate HRA developments, which is being monitored by the joint Housing Oversight Panel. Commissioners are carrying out work to ensure the market has enough capacity and a broad range of provision. In November, the Adults and Safeguarding Committee agreed plans for 125 extra care and enabled care places to be delivered by public and private developers by 2022.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
AC/S4 (ASCOF 1E)	Percentage of adults with learning disabilities in paid employment	Bigger is Better	10.8%	10.4%	9.4% (RA)	9.4%	Same	9.5%	Worsening	CIPFA 9.9% London 7.5% (2015/16, ASCOF)	There was an increase in the actual number of adults with learning disabilities recorded as being in paid employment – from 67 at the end of Q2 to 69 at the end of Q3. However, this increase was offset by an increase in the overall cohort from 725 to 737. A programme of work is being carried out to improve employment outcomes for working age adults with disabilities.
AC/S5 (ASCOF 1F)	Percentage of adults with mental health needs in paid employment	Bigger is Better	7.2%	6.8%	6.1% (As at 31 Dec 2016) (R)	5.8%	Improving	5.4%	Improving	CIPFA 6.5% London 5.0% (2015/16, ASCOF)	This measure relates only to service users on the Care Programme Approach (CPA), whose needs are relatively intensive. It is showing the impact of a programme of mental health reviews which were undertaken to support implementation of the mental health transformation programme. In addition to the new YCB contracts focus on employment and other actions, the two mental health services, MAPS and IPS, are now increasingly working with service users with funded care packages as well as those on CPA only.
AC/S6 (ASCOF 1H)	Percentage of adults with mental health needs who live independently, with or without support	Bigger is Better	83.0%	82.5%	84.7% (As at 31 Dec 2016) (G)	83.2%	Improving	82.9%	Improving	CIPFA 74.4% London 73.5% (2015/16, ASCOF)	

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
Focus on foster care											
FS/S6	Percentage of children in London Borough of Barnet foster care	Bigger is Better	42.5%	42.1%	44.9% (As at 31 Dec 2016) (G)	44.5%	Improving	41.3%	Improving	No benchmark available	
Families early intervention											
FS/S4	Number of referrals to social care (per 10,000 of the under-18 population)	Monitor	Monitor	Monitor	379.0 (As at 31 Dec 2016)	377.8	Monitor	389.8	Monitor	Statistical Neighbours 467.48 London 477.9 England 548.3 (2014/15, LAIT)	
FS/S5	Number of children adopted	Bigger is Better	10	Monitor	7	3	Improving	7	Same	No benchmark available.	
FS/S16 NEW	Number of children in care per 10,000	Monitor	Monitor	Monitor	39.1 (As at 31 Dec 2016)	36.4	Monitor	New for 2016/17	New for 2016/17	Statistical Neighbours 43.1 London 52 England 60.0 (2014/15, LAIT)	
Tackling homelessness											
BH/S2	Number of Homelessness Preventions	Bigger is Better	900	675	720 (Apr-Dec 2016) (G)	450	Improving	685	Improving	2 nd Quartile (2015/16, DCLG)	

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
BH/KPI1 (LY: BH/C4)	Numbers of households in Temporary Accommodation	Smaller is Better	2700	2800	2861 (Dec 2016) (GA)	2887	Improving	2904	Improving	Rank 30 out of 33 London boroughs (Q2 2016/17, DCLG)	Despite strong performance with private sector lettings, preventions and additional affordable supply coming online in Q3, sustained levels of demand have meant that reducing the overall number of households in temporary accommodation has been challenging. The longer term outlook is positive with further proposals to help reduce the number of households in temporary accommodation,
Recycling and waste											
SS/S3	Percentage of household waste sent for reuse, recycling and composting	Bigger is Better	42.00%	41.92% (Q2 2016/17)	39.90% (Q2 2016/17) (GA)	39.43% (Q1 2016/17)	Improving	38.04% (Q2 2015/16)	Improving	Rank 5 out of 28 London boroughs (January 2017, Waste Data Flow)	There has been a 1.86% increase in performance compared to the same period last year. This is mainly due to an increase in kerbside garden waste tonnages; garden waste and wood tonnages at the Summers Lane Reuse and Recycling Centre; and a decrease in residual waste. Food waste tonnage has decreased slightly compared to the same period last year.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
SS/S4 (RPS - Biannual)	Percentage of residents who are satisfied with refuse and recycling services ²	Bigger is Better	80%	80% (Autumn 2016)	75% (Autumn 2016) (GA)	75% (Spring 2016)	Same	78% (Autumn 2015)	Worsening	London 68% (November 2014, Survey of Londoners).	Satisfaction with the refuse service was 76%, a 1% decrease compared with spring 2016. Recycling is 74%, a 1% increase compared with spring 2016. The overall result of 75% is unchanged from spring 2016. Spring and autumn results all fall within the 4% confidence interval level, so satisfaction levels are effectively same. These services remain among the highest rated council services. Street Scene continues to ensure it provides a high quality service, whilst looking at any operational changes that could contribute to an improvement in satisfaction.
Enforcement											
SS/S6 (RPS - Biannual)	Percentage of residents who are satisfied with street cleaning ²	Bigger is Better	58%	58% (Autumn 2016)	51% (Autumn 2016) (RA)	59% (Spring 2016)	Worsening	52% (Autumn 2015)	Worsening	London 55% (November 2014, Survey of Londoners)	Although satisfaction is below target it remains in line with previous results. The Keep Barnet Clean trial and Street Cleansing Framework are expected to contribute to an improvement in satisfaction by spring 2017.
SS/S7	Percentage of unacceptable levels of litter	Smaller is Better	3.00%	3.00%	Data not available	1.00%	Unable to provide DOT	2.00%	Unable to provide DOT	Rank 1 (out of 11 reporting boroughs) (Q2 2016/17, LAPS). Group average was 5.28%	Unable to report in Q3 2016/17 due to resource issues affecting the completion of the survey. It is planned that this indicator will be reported in Q4 2016/17.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
SS/S8	Percentage of unacceptable levels of detritus	Smaller is Better	9.00%	9.00%	Data not available	2.83%	Unable to provide DOT	9.00%	Unable to provide DOT	Rank 9 (out of 19 reporting boroughs) (Q4 2014/15, LAPS). Group average was 5.26%.	Unable to report in Q3 2016/17 due to resource issues affecting the completion of the survey. It is planned that this indicator will be reported in Q4 2016/17.
CG/S11 (RPS - Biannual)	Percentage of residents who are satisfied with the repair of roads ²	Bigger is Better	35%	35% (Autumn 2016)	33% (Autumn 2016) (G)	27% (Spring 2016)	Improving	35% (Autumn 2015)	Worsening	London 41% (November 2014, Survey of Londoners)	
CG/S12 (RPS - Biannual)	Percentage of residents who are satisfied with the quality of pavements ²	Bigger is Better	35%	35% (Autumn 2016)	34% (Autumn 2016) (G)	33% (Spring 2016)	Improving	35% (Autumn 2015)	Worsening	London 41% (November 2014, Survey of Londoners)	
KPI 2.1-2.3	Highways defects made safe within agreed timescale	Bigger is Better	100%	100%	FAIL (R)	FAIL	Unable to provide DOT	98%	Unable to provide DOT	No benchmark available	An element of this KPI has been unable to report again this quarter due to an ongoing issue with the contractor. Direct discussions aimed to resolve this and other contractual issues are taking place between the council and the contractor. Meanwhile, Re continues to raise highways repair orders to the contractor and also provides the council with a weekly update on instructed works.
Parking and regulatory services											

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
PI/S3 (RPS)	Percentage of residents who are satisfied with parking services ²	Bigger is Better	33%	33% (Autumn 2016)	24% (Autumn 2016) (R)	28% (Spring 2016)	Worsening	30% (Autumn 2015)	Worsening	London 33% (November 2014, Survey of Londoners)	This is an area that the parking client team are looking to change including: an improved response to feedback received from residents; a speedier response to members enquiries; and freedom of information requests. A tracking system will be implemented by Q4 which will increase visibility of performance and identify trends and themes.
EH01B	Compliance with Environmental Health Service Standards (Priority 1 incidents and service requests)	Bigger is Better	100.0%	100.0%	100.0% (G)	100.0%	Same	100.0%	Same	Ealing 75.7% (2013/14) Q1 81.5% (2014/15, Barnet Survey)	

Transforming services (Opportunity)

Key area of focus	Description	Q3 2016/17 Progress Update
Burnt Oak Opportunity Support Team	Piloting new approach to place based commissioning to help longer-term unemployed	Burnt Oak Opportunity Support Team (BOOST) has signed up or engaged 728 people, and supported 269 into work up to the end of December 2016.
Welfare Reform Task Force	Co-locating service to help residents into work	Residents affected by the introduction of the new lower benefit cap have received letters and offers of support to find work. Barnet Homes have been successful in applying for funding from JobCentre Plus to provide local support to residents in areas most likely to be affected by the cap. Multi-agency support to key groups has continued, including for Care Leavers, 'Families First', those affected by welfare reforms, new claimants of Universal Credit and those living in priority wards (e.g. Burnt Oak and Childs Hill).

Key area of focus	Description	Q3 2016/17 Progress Update
Best practice social care	Remodelling social care services for adults to focus on independence and early intervention.	<p>The Adults and Safeguarding Committee has authorised implementation of the new operating model within the current service and further development of two delivery vehicle options (a reformed in-house service, and a shared service with the NHS). There will be a report back to the Adults and Safeguarding Committee early in 2017.</p> <p>Five cohorts have progressed to graduation through the learning programme. Group 6 are in the reflective practice phase. Sessions are being facilitated for non-practitioners in Community and Wellbeing. To embed the approach a 'Coaching Skills for Managers' session has been facilitated. The strengths-based approach is included in the induction programme. The council's approach was recognised as a Finalist in the Social Care Awards for 'Creative & Innovative Practice'.</p> <p>Adults Hubs Phase II has been operational for three months. As result of this experience, operations have been improved, the number of wrong appointments has decreased and staff feedback is increasingly positive. There remain some operational snags which are being addressed and a venue for a hub in the north locality still needs to be found. The occupational therapy equipment in the Independent Living Centre is providing good opportunities. The project will remain open until these snags are resolved and another performance cycle has been completed.</p> <p>The final proposals for the Barnet Mental Health enablement pathway have been approved by the General Functions Committee on 6 December 2016. The staff preferences period has been initiated and staff assimilation and redundancy notices issued.</p>
Children's social care	Developing excellent social work practice	<p>The drive for improvement continues, with Practice Development Workers appointed to support the pace of progress in practice improvement activity. The Quality Assurance framework has been strengthened, and increased audit activity is taking place across the service, including regular and thematic audits, as well as reviews of practice.</p> <p>Resilience Philosophies have been developed for each service area, with outcomes for what good looks like for children and young people. These will form the basis of team plans.</p> <p>Two-day training and briefing sessions for Signs of Safety (SoS) have commenced, and a SoS Steering Group and Operational Group will commence in Quarter 4. Five-day advance Practice Leaders Training will also commence towards the end of Quarter 4 2016/17.</p>
Family service ADM	Exploring opportunities for social work-led, not-for-profit organisation, to provide some services for children and young people	<p>Preparation is underway of an initial Outline Business Case document to report to the Children, Education, Libraries and Safeguarding Committee in spring 2017. This has been amended in light of advice received on VAT on delivery model options.</p> <p>Work is ongoing to maintain project management documentation, including the above-mentioned outline Business Case, Project Initiation Document, and revised project plans the future business case stages.</p>

Key area of focus	Description	Q3 2016/17 Progress Update
Health visiting CAMHS	Re-commissioning health visiting and CAMHS and developing a traded CAMHS service	<p>A Mental Health and Wellbeing Governance Board has been established to drive forward the re-modelling and re-commissioning of CAMHS. This work has commenced, with a refreshed needs assessment, service mapping, and plans to consult on the emerging model, including an event for young people in February 2017. Alongside this, four funding applications have been successful, including a bid to recruit graduate clinical psychology trainees to work with young people and their families in Early Help services; additional funding to reduce waiting lists, including Saturday sessions at Raphael House; perinatal mental health support; and youth offending CAMHS totalling £545k for next 12 months. The implementation of the Thrive approach in schools, to support emotional wellbeing, is being progressed by Public Health.</p> <p>As part of the 0-19 Family Services review, Health Visiting services are being reviewed and re-modelled, alongside the council's early years/intervention services, to establish a more integrated approach to service delivery that makes the best use of available resources and to develop a resilience-based approach to support families health and wellbeing. Extensive service mapping and consultation has taken place and options will be drawn up in the spring.</p>
Street services ADM	Exploring opportunities to deliver frontline services via different business models.	Following Full Council approval of the initial Outline Business Case for the Street Scene Alternative Delivery Model on 1 November 2016, the public consultation will run until 15 January 2017. A Street Scene staff consultation has been launched to run in parallel.

13 indicators are reported in Q3 2016/17. Of these, 7 have been given a RAG rating: **57% (4)** are “on or above target” and **43% (3)** are “below target”. 7 have been given a Direction of Travel (DOT) status: **57% (4)** have an “improved/same” DOT and **43% (3)** have a “worsened” DOT from the same period last year.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where “below target”
Education and skills											
CES/S1	Percentage of primary schools rated as 'good' or better	Bigger is Better	95.0%	95.0%	94.3% (As at 31 Dec 2016) (GA)	94.3%	Same	93.1%	Improving	England 90.7% London 93.6% (January 2017, Watchsted)	Barnet's monitoring and challenge policy sets out how schools are supported to achieve a good or outstanding grade at their next Ofsted inspection.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
CES/S3	Percentage of secondary schools rated as 'good' or better	Bigger is Better	92.0%	92.0%	92% (As at 31 Dec 2016) (G)	92%	Same	84.0%	Improving	England 79% London 89.5% (January 2017, Watchsted)	
CES/S11 -1	Percentage of pupils eligible for free school meals in the past 6 years (FSM6) achieving the 'expected standard' in English Reading, English Writing and Mathematics (combined) at the end of Key Stage 2 ³	Smaller is Better	Improve national ranking	Improve national ranking	46.0%	Data was not published and validated by the DfE in time for Q2 submission	Data was not published and validated by the DfE in time for Q2 submission	New for 2016/17	New for 2016/17	England 39% London 49% Statistical Neighbours 44.8% (January 2017, Watchsted)	
CES/S13 -1	Average Attainment 8 score ⁴	Bigger is Better	Top 10% in England	Top 10% in England	55.70	Data was not published and validated by the DfE in time for Q2 submission	Data was not published and validated by the DfE in time for Q2 submission	New for 2016/17	New for 2016/17	England 48.2 London 51.7 Statistical Neighbours 52.85 (January 2017, Watchsted)	
CES/S13 -2	Average Progress 8 score ⁴	Bigger is Better	Top 10% in England	Top 10% in England	0.32	Data was not published and validated by the DfE in time for Q2 submission	Data was not published and validated by the DfE in time for Q2 submission	New for 2016/17	New for 2016/17	England 0 London 0.16 Statistical Neighbours 0.16 (January 2017, Watchsted)	

³ Method change for 2016/17. Target of 'Improve national ranking' to be reviewed in Q4 2016/17.

⁴ Provisional result. Final validated result available in Q4 2016/17. Target of 'Top 10% in England' will be confirmed in Q4 2016/17, when all England data has been validated.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
CES/S18-1	Percentage of 16-18 year olds who are not in education, employment or training	Smaller is Better	London Top Quartile	2.5%	2.3% (As at 30 November 2016) (G)	2.3%	Same	2.1%	Worsening	West London and Barnet 2.4% (November 2016, West London Partnership Support Unit)	
CES/S24	Percentage of primary pupils achieving the 'expected standard' in English Reading, English Writing and Mathematics (combined) at the end of Key Stage 2 ³	Bigger is Better	Improve national ranking	Improve national ranking	59.0%	Data was not published and validated by the DfE in time for Q2 submission	Data was not published and validated by the DfE in time for Q2 submission	New for 2016/17	New for 2016/17	England 53% London 59% Statistical Neighbours 58.9% (January 2017, Watchsted)	
CES/S25	Percentage attendance levels at primary schools	Bigger is Better	London Average	95.9%	95.9% (G)	96.2%	Worsening	95.8%	Improving	England 96.1% Outer London 96% (January 2017, Watchsted)	
Children's social care											
FS/S1	Number of children made subject to Child Protection Plans	Monitor	Monitor	Monitor	221 (Apr-Dec 2016)	143 (Apr-Sep 2016)	Monitor	232 (Apr-Dec 2015)	Monitor	Statistical Neighbours 265 (2014/15, CIN Census)	

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
FS/S2	Children made subject to Child Protection Plan for a second or subsequent time	Smaller is Better	Perform in line with statistical neighbours (currently 15.6%)	15.6%	15.9% (As at 31 Dec 2016) (GA)	15.8%	Worsening	New return method. Not comparable with Q3 2015/16	New return method. Not comparable with Q3 2015/16	Statistical Neighbours 15.64% London 13.8% England 16.6% (2014/15, LAIT)	A focused piece of analysis has been completed on this cohort which does not identify any significant issues, although does provide some learning. The indicator remains in line with statistical neighbours and above the England average and will continue to be closely monitored.
FS/S3	Number of children subject to Child Protection Plans for two or more years	Monitor	Perform in line with statistical neighbours (currently 3.31%)	Monitor	4 (As at 31 Dec 2016)	7	Monitor	Not comparable with Q3 2015/16	Not comparable with Q3 2015/16	Statistical Neighbours 9 (2014/15, CIN Census)	
FS/S7	Percentage of free entitlement early years places taken up by parents/ carers that are eligible for a place	Bigger is Better	63% (London average)	59%	60% (G)	Data is statutorily returned in Q3 and Q4 only	Data is statutorily returned in Q3 and Q4 only	52%	Improving	No benchmark available	

Public health

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
PH/S5	Smoking prevalence (aged 18 years and over) ¹	Smaller is Better	13.0%	13.0% (Q2 2016/17)	14.4% (Q2 2016/17) (R)	14.6% (Q1 2016/17)	Improving	13.2% (Q2 2015/16)	Worsening	England 16.9%; London 16.3% (7/12/16; Public Health Outcomes Framework)	The challenges are to identify options in the context of significant changes in the STP landscape and significantly reducing budgets, as well as the nascent Pan-London Smoking Channel Shift project that Barnet will be participating in. In light of the delays in being able to develop a strategy an interim solution is being agreed for specialist smoking support. The team has procured a specialist smoking trainer to deliver update training and CO monitor calibration in the new year.

More resilient communities (Responsibility)

Key area of focus	Description	Q3 2016/17 Progress Update
Community participation	Multiple work streams, including development of database for voluntary organisations and volunteering brokerage package	<p>The Barnet Community Directory has been signed off and a soft launch was initiated in December 2016. Work with internal stakeholders will continue throughout Quarter 1 2017/18.</p> <p>A meeting of the Communities Together Network Steering Group has considered the Network's annual report and agreed a way forward for 2017.</p> <p>A Community Participation Strategy update has been presented to the Community Leadership Committee. A communications campaign aimed at increasing community participation within the borough has launched in the Barnet First magazine. This has been underpinned by focus groups with residents.</p>

Key area of focus	Description	Q3 2016/17 Progress Update
Community assets strategy	Investing in community hubs to work with co-located community groups to improve interaction with council services	Phase 1 of the Community Asset Strategy implementation plan has been completed and subsequent phases are on track. A new Community Business Case Coach has been appointed, to help maximise the professional support available to Voluntary and Community Sector (VCS) groups. A user group for the proposed Tarling Road community centre is being established, to inform the development of a management organisation for the centre, and to keep all stakeholders informed of project progress. Works are scheduled to start in spring 2017.
Building family resilience	Working with families, schools and the community to build resilience.	Resilience continues to be embedded across the partnership: a pilot of a resilience approach to address mental ill health in educational settings in Barnet has been agreed; and 160 practitioners have been trained on Signs of Safety, a resilience-based tool for social care practice. A resilience DVD, incorporating views of key partners about resilience has been produced and shared at meetings with partners, including the voluntary sector and schools. A resilience page has been created on the Barnet Partnership for Schools (BPSI) website, which includes resources devised by schools that can be used across the borough. Resilience training, including mindfulness courses, have been included in the BPSI Training Programme. Resilience Champion schools are being established.

6 indicators are reported in Q3 2016/17. Of these, 6 have been given a RAG rating: **83% (5)** are “on or above target” and **17% (1)** is “below target”. 6 have been given a Direction of Travel (DOT) status: **83% (5)** have an “improved/same” DOT and **17% (1)** have a “worsened” DOT from the same period last year.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where “below target”
Community participation											
CG/S5 (RPS – Annual)	Percentage of residents who report feeling they belong to their local area ²	Bigger is Better	74%	74% (Autumn 2016)	76% (Autumn 2016) (G)	Survey delivered on an annual basis. Not undertaken in Q2 2016/17.	Survey delivered on an annual basis. Not undertaken in Q2 2016/17.	74%	Improving	National 63% (2014/15, Community Life Survey)	

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
CG/S16 (RPS - Biannual)	Percentage of residents who are satisfied with Barnet as a place to live ²	Bigger is Better	90%	90% (Autumn 2016)	85% (Autumn 2016) (GA)	89% (Spring 2016)	Worsening	88% (Autumn 2015)	Worsening	National 83% (October 2016, LGA Survey)	Resident satisfaction remains high at 85% and above the national average (83%). The drop in satisfaction remains within the 4% point tolerance for a survey of this sample size, so effectively remains on par with the previous year.
Community safety											
CG/S3	Level of crime across the Mayor's Office for Policing And Crime set of crimes	Bigger is Better	20% reduction	20% reduction	21% reduction (12 months up to Dec 2016) (G)	18% reduction	Improving	17% reduction	Improving	London 16.5% (Jan-Dec 2014, Ministry of Justice)	
Building family resilience											
FS/S8	Percentage of the target groups that are registered with the children centre within the area it serves	Bigger is Better	65%	65%	85% (As at 31 Dec 2016) (G)	88%	Worsening	75%	Improving	65%+ of Deprived Children 0-5 should be known to be deemed as 'Good' or 'Outstanding' (April 2014, Ofsted Children's Centre handbook)	
FS/S15	Percentage of care leavers age 19 – 21 in education, employment or training	Bigger is Better	55% Above our statistical neighbours	55.0%	63.8% (As at 31 Dec 2016) (G)	58.7%	Improving	57.0%	Improving	Statistical Neighbours 51.8% London 53% England 48% (2014/15, LAIT)	

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
FS/S18 NEW	Proportion of care leavers age 19 – 21 in suitable accommodation	Bigger is Better	90%	90%	98% (As at 31 Dec 2016) (G)	96%	Improving	96%	Improving	Statistical Neighbours 79.8% London 83% England 81% (2014/15, LAIT)	

Improving customer services and ensuring transparency

Key area of focus	Description	Q3 2016/17 Progress Update
Council tax and business rates	Helping the council become financially sustainable by maximising local sources of revenue.	<p>At the end of Quarter 4, the Council Tax four-year collection rate was 98.43% against a year-end target of 98.49%, compared to 98.42% in December 2015.</p> <p>The Business Rates four-year collection rate was 98.13% against a year-end target of 99%. This compares to the December 2015 collection rate of 98.50%.</p> <p>An additional £2.613m has been collected in Council Tax compared to the same time last year. The forecast net annual collectable Council Tax as at December 2016 is £194.2m - an estimated increase of £3.4m compared to December 2015. The Council Tax four-year collection rate is on target to reach the year-end target. While the Business Rate collection rate is behind that of last year, the Council is confident of achieving its year-end target.</p>

Key area of focus	Description	Q3 2016/17 Progress Update
Web-based services	Interacting with the council via the web and other self-service channels	<p>Web satisfaction has seen a 6% point increase in Quarter 3 2016/17. For the first time ever, barnet.gov.uk has featured among the top 10 councils nationwide for customer web satisfaction in the GovMetric Channel satisfaction index, coming 3rd in October and 8th in November.</p> <p>GovMetric has provided positive feedback on Barnet's web satisfaction survey and an online case study is due to be published to highlight the successful approach taken.</p> <p>The council's web team has continued to progress with the gov.uk Verify implementation scheme, bringing together colleagues from IT, parking and customer services into a dialogue with other councils and gov.uk in implementing an ambitious identity assurance scheme. The project has completed its discovery phase and a technical phase is beginning.</p> <p>The content refresh is ongoing across the 60 most complained-about pages from GovMetric, and the approval score has risen steadily</p> <p>The carers section of the Adult Social Care pages has been re-designed, with page templates and content radically redesigned to take on board findings from user research.</p> <p>The web team has attended a third cross-council Local Government standards meeting to collaborate across London councils in adopting a clearer and simpler way of creating web content. Layout and user experience changes to MyAccount have also been implemented.</p>
Customer satisfaction	Resolving issues at first point of contact	<p>Quarter 3 2016/17 has seen an improvement on the previous quarter, with 74% of contacts being resolved first time. There have been two main drivers for this:</p> <ul style="list-style-type: none"> • The CSG contact centre closing the staffing gaps experienced in Quarter 2 2016/17. All new staff are now fully trained and operational. This has improved both the call handling capabilities and the quality of service being provided. • A strong focus on reducing the number of follow-up calls into the contact centre. Resolving issues at first point of contact has been a key focus of contact centre management to reduce overall call volumes. <p>The target for the proportion of customers rating their service via telephone, face-to-face or email as 'Good' has increased this quarter, but it has still been achieved despite a slight drop in performance from 90% to 89%. Barnet has received positive feedback on email and face-to-face services and has consistently been in the top three for GovMetric ratings for face-to-face service satisfaction.</p> <p>In improving the resolution of issues at the first point of contact, Quarter 3 2016/17 achievement has been 26% versus a target of 30%. This is an improvement of 1 percentage point on the previous quarter.</p> <p>Ratings for satisfaction with services have also achieved above target, at 89% vs 87% (from GovMetric).</p>

Key area of focus	Description	Q3 2016/17 Progress Update
Open Data Portal and Transparency	Providing access to council data and information; and publishing contract and spend data	<p>Barnet has built a national reputation for setting high standards in the field of transparency and Open Data, and is recognised as a Local Government Transparency Champion by the Cabinet Office.</p> <p>Changes to the Open Barnet portal have gone live, including a new-look front page incorporating enhanced visualisation, such as data dashboards and live dataset updates; and in-system data cleansing and improvement, increasing the quality of data the Council publishes. Interactive dashboards have been published, incorporating full listings of all parking Penalty Charge Notices issued in the Borough since 2015, along with the means to analyse and visualise data.</p> <p>The portal has reduced the burden of answering Freedom of Information (FOI) requests. 13% of all FOI requests have been answered using the portal, and there has been a 50% reduction in requests regarding Business Rates, due to the publication of data.</p>

7 indicators are reported in Q3 2016/17. Of these, 5 have been given a RAG rating: **60% (3)** are “on or above target” and **40% (2)** are “below target”. 7 have been given a Direction of Travel (DOT) status: **71% (5)** have an “improved/same” DOT and **29% (2)** have a “worsened” DOT from the same period last year.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where “below target”
Improving customer services and ensuring transparency											
CG/S14 (RPS - Biannual)	Percentage of residents who are satisfied with the way the council runs things ²	Bigger is Better	73%	73% (Autumn 2016)	71% (Autumn 2016) (G)	74% (Spring 2016)	Worsening	74% (Autumn 2015)	Worsening	London 70% (November 2014, Survey of Londoners) National 71% (October 2016, LGA Survey)	
CG/S15	Performance of services	Bigger is Better	80% above average	80%	78% (GA)	78%	Same	77%	Improving	No benchmark available	In comparison to other single tier and county councils, Barnet has achieved above benchmarks for 14 out of 18 metrics, across themes including Education, Children’s Services, Adults’ Services and Housing.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
CG/S22	Council Tax collection	Bigger is Better	98.5%	Monitor	98.4%	98.4%	Same	98.4%	Same	Outer London 96.8% (June 2016, DCLG)	
CG/S23	Business rate collection	Bigger is Better	99.0%	Monitor	98.1%	98.2%	Worsening	98.5%	Worsening	Outer London 98.4% (June 2016, DCLG)	
CG/S24	Overall satisfaction with customer services	Bigger is Better	80%	87%	89% (G)	90%	Worsening	77%	Improving	TBC	
CG/S25	Satisfaction with the council's website	Bigger is Better	51%	48%	52% (G)	48%	Improving	42%	Improving	TBC	
CG/S26	Customer cases that are closed within the agreed timescales	Bigger is Better	90%	92%	85% (RA)	84%	Improving	70%	Improving	TBC	The inclusion of Revenues and Benefits data (accounting for 67% of all cases) has a significant impact on the overall rating. Whilst Revenues and Benefits improved slightly from Q2, performance is still below target. When Revenues and Benefits data is removed, 90% of cases are delivered within SLA. The focus is now on Revenues and Benefits to deliver improvement. It should also be noted that the number of customers who need additional support cases delivered within SLA, increased significantly to 98% (versus 92% in Q2).

Appendix B: Service Performance (Quarter 3 2016/17)

This appendix aligns **performance**, **risk** and **finance** information for each service (Delivery Units and Service Providers) – focusing on key successes and challenges; any service indicators that are “below target” (RAG rated as Green Amber, Red Amber or Red); and revenue and capital budget variances. The full service reports are published on the website each quarter at www.barnet.gov.uk/currentperformance

Performance

315 indicators are reported in Q3 2016/17. Of these, 244 have been given a RAG rating: **78% (191)** are “on or above target” and **22% (53)** are “below target”. 223 indicators have been given a Direction of Travel (DOT) status: **66% (147)** have an “improved/same” DOT and **34% (76)** have a “worsened” DOT from the same period last year.

Service	No. reported Q3 2016/17	No. with a RAG rating Q3 2016/17	RAG Ratings				Monitor Q3 2016/17	No. with a DOT at Q3 2016/17	Long Term Direction of Travel	
			Green	Green Amber	Red Amber	Red			Improved/Same	Worsened
Adults and Communities	23	18	50% (9)	22% (4)	6% (1)	22% (4)	5	12	75% (9)	25% (3)
Barnet Homes	18	16	81% (13)	13% (2)	0% (0)	6% (1)	2	16	69% (11)	31% (5)
Commissioning Group	36	24	71% (17)	25% (6)	4% (1)	0% (0)	12	24	54% (13)	46% (11)
Customer and Support Group (CSG)	25	21	100% (21)	0% (0)	0% (0)	0% (0)	4	18	89% (16)	11% (2)
Education and Skills	26	12	75% (9)	17% (2)	0% (0)	8% (1)	14	13	77% (10)	23% (3)
Family Services	32	21	71% (15)	19% (4)	5% (1)	5% (1)	11	11	82% (9)	18% (2)
HB Public Law	13	12	92% (11)	0% (0)	0% (0)	8% (1)	1	12	50% (6)	50% (6)
Mortuaries	0	0	0% (0)	0% (0)	0% (0)	0% (0)	0	0	0% (0)	0% (0)
Parking and Infrastructure	7	7	71% (5)	14% (1)	0% (0)	14% (1)	0	7	29% (2)	71% (5)
Public Health	22	21	86% (18)	0% (0)	0% (0)	14% (3)	1	18	61% (11)	39% (7)
Regional Enterprise (Re)	64	52	87% (45)	0% (0)	4% (2)	10% (5)	12	48	65% (31)	35% (17)
Registrar Service	9	9	67% (6)	11% (1)	0% (0)	22% (2)	0	9	33% (3)	67% (6)
Street Scene	13	11	55% (6)	36% (4)	9% (1)	0% (0)	2	10	70% (7)	30% (3)
Your Choice Barnet (YCB)	27	20	80% (16)	10% (2)	0% (0)	10% (2)	7	25	76% (19)	24% (6)
Total	315	244	78% (191)	11% (26)	2% (6)	9% (21)	71	223	66% (147)	34% (76)

Revenue

Service	Original Budget £000	Revised Budget £000	Q3 Projected Outturn £000	Variance from Revised Budget Adv/(fav) £000	Variance from Revised Budget Adv/(fav) %
Adults and Communities	85,566	88,968	95,022	6,054	6.8
Assurance	3,793	3,854	3,854	-	0.0
Births, Deaths & Marriages (Registrar Service)	(160)	(160)	18	178	111.3
Central Expenses	51,381	43,654	43,157	(497)	(1.1)
Commissioning Group	19,288	20,186	20,186	-	0.0
Customer and Support Group (CSG)	22,120	22,090	22,590	500	2.3
Education and Skills	6,940	7,082	7,157	75	1.1
Family Services	46,481	51,044	52,032	988	1.9
HB Public Law	2,011	2,011	2,068	57	2.8
Housing Needs and Resources (Barnet Homes)	4,976	5,560	5,738	178	3.2
Parking and Infrastructure	(1,933)	(1,947)	(2,003)	(56)	(2.9)
Public Health	18,544	18,055	18,055	-	0.0
Regional Enterprise (Re)	1,134	1,134	1,424	290	25.6
Street Scene	13,896	13,447	13,386	(61)	(0.5)
Total	274,037	274,978	282,684	7,706	2.8

Capital

Service	2016/17 Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	Projected Outturn £000	Variance from Approved Budget Adv/(Fav) £000	Slippage %
Adults and Communities	1,039	341	-	1,380	341	0.0
Commissioning Group	33,237	(341)	(16,076)	16,820	(16,417)	(48.4)
Education and Skills	71,389	-	(31,376)	40,013	(31,376)	(44.0)
Family Services	9,662	-	(4,139)	5,523	(4,139)	(42.8)
Housing Needs & Resources (Barnet Homes)	13,983	(5,056)	(57)	8,870	(5,113)	(0.4)
Parking and Infrastructure	1,457	-	(261)	1,196	(261)	(17.9)
Regional Enterprise (Re)	87,467	(1,152)	(25,442)	60,873	(26,594)	(29.1)
Street Scene	2,536	-	(629)	1,907	(629)	(24.8)
General Fund	220,770	(6,208)	(77,980)	136,582	(84,188)	(35.3)
HRA (Barnet Homes)	39,790	313	(885)	39,218	(572)	(2.2)
Total Capital Programme	260,560	(5,895)	(78,865)	175,800	(84,760)	(30.3)

Savings

Service	2016/17 MTFS Savings Target £000	Savings Achieved £000	Savings Expected to be Achieved £000	Savings Unachievable £000	Savings achieved %
Adults and Communities	3,383	3,383	-	-	100.0
Assurance	351	304	-	47	86.6
Central Expenses	6,995	6,665	130	200	95.3
Commissioning Group	2,411	2,211	200	-	91.7
Education and Skills	85	85	-	-	100.0
Family Services	1,986	1,036	826	124	52.2
Parking and Infrastructure	1,130	1,030	100	-	91.2
Re	2,253	2,253	-	-	100.0
Street Scene	960	910	-	50	94.8
Total	19,554	17,877	1,256	421	91.4

Adults and Communities

Successes	Challenges
<ul style="list-style-type: none"> The Delivery Unit continues to perform strongly against key demand management indicators – new admissions to residential care have remained low; take up of preventative services such as telecare have remained high. The Your Choice Enablement service has been successfully mobilised less than four months after issues emerged with the previous enablement provider. The service began receiving referrals in December and is now increasing its capacity. The Delivery Unit, in partnership with the Barnet Group, successfully mobilised the new service in less than four months. The Delivery Unit has run a successful series of ‘Silver Sunday’ events in October 2016 – part of a national event which celebrates the contribution older people make to our communities while combating loneliness and social isolation. 662 people attended events and 92 signed up for regular activities (such as sport and leisure activities or digital inclusion classes) as a result. 	<ul style="list-style-type: none"> Managing the continuing financial pressure on adult social care – at the end of the quarter the Delivery Unit is forecasting an overspend of £6.205m. Spend continues to be closely monitored and a plan for in-year savings has been agreed by the Strategic Commissioning Board. Devoting sufficient resource to realise the opportunities arising from implementation of the new adult social care case management system, which has required significant staff time and investment in Quarter 3 and will continue to do so until the system ‘goes live’ in 2017/18. Fortnightly programme board meetings are being held to ensure the project remains on track. Managing the knock-on impact of pressure on the NHS. Management activity includes an intensive focus on discharge logistics e.g. managing discharge lists and setting up quick escalation routes; and ensuring capacity in the enablement and homecare provider markets.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	50% (9)	22% (4)	6% (1)	22% (4)	75% (9)	25% (3)

23 indicators are reported in Q3 2016/17. 18 have been given a RAG rating: 50% (9) are “on or above target” and 50% (9) are “below target”. 12 have been given a Direction of Travel (DOT) status: 75% (9) have an “improved/same” DOT and 25% (3) have a “worsened” DOT from the same period last year. Of the 9 “below target”, 3 are Corporate Plan Indicators and can be found in Appendix A:

- AC/S3 (ASCOF 1G) Percentage of adults with learning disabilities who live in their own home or with their family.
- AC/S4 (ASCOF 1E) Percentage of adults with learning disabilities in paid employment.
- AC/S5 (ASCOF 1F) Percentage of adults with mental health needs in paid employment

6 are Service Indicators (in the Adults and Safeguarding Committee Commissioning Plan and/or Adults and Communities Management Agreement) and are set out below.

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
AC/S16 (ASCOF 1C/2A)	Proportion of service users with a direct payment (ASCOF 1C/2A)	Bigger is Better	42.0%	41.5%	38.97% (RA)	38.81%	Improving	39.50%	Worsening	CIPFA 29.5% London 27.6% (2015/16, ASCOF)	The proportion of service users with a direct payment has increased slightly since Q2. Barnet remains a high performer nationally against this indicator even at 38.8% with benchmarking data for 2015/16 showing a comparator group average of 29.5% and a London average of 27.6%.
AC/S18	Percentage of service users receiving ongoing services with telecare	Bigger is Better	17.0%	15.9%	15.7% (GA)	14.9%	Improving	12.0%	Improving	No benchmark available	The Delivery Unit is seeing positive progress against this target this year and will continue to monitor referrals into the current service. The contract has been awarded for the new telecare service and as the review of the Front Door continues further opportunities will be found to improve referral rates into the service and use technology to deliver better care and support.
AC/S21	Number of carers' assessments	Bigger is Better	1045	732	593 (R)	Not reported in Q2	Not Reported in Q2	949	Not comparable due to reporting format	No benchmark available	The Delivery Unit is making sure carers are referred for assessment within assessment hubs where possible, which also gives carers access to a broader range of preventative services.

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
AC/C10	Percentage of clients receiving an ongoing package of care reviewed	Bigger is Better	75.0%	56.0%	46.3% (GA)	31.6%	Improving	New for 2016/17	New for 2016/17	No benchmark available	The Delivery Unit is exploring the feasibility of allocating further cases through the contract with its external reviews provider. Priority cohorts for review have been identified by Heads of Service and are being tracked through reporting to the Adults Transformation Programme to ensure high risk clients are prioritised for review before year end.
AC/C12 (ASCOF 2c(1))	Number of delayed transfers of care from hospital per 100,000 population (aged 18+) which are attributable to both NHS and Adult Social Care	Smaller is Better	7.3	7.4	9.1 (R)	8.3	Worsening	7.0	Worsening	CIPFA 8.8 London 7.8 (2015,16 ASCOF)	The Delivery Unit continues to work closely with the NHS to maintain the operational arrangements which enable assessments to take place in an efficient and timely manner. Barnet is an active participant in its local Accident and Emergency Delivery board and senior managers have taken part in a series of 'rapid improvement events' in hospitals early in 2017.
AC/C13 (ASCOF 2C/2)	Number of delayed transfers of care from hospital, and those which are attributable to adult social care, per 100,000 population	Smaller is Better	3.8	2.7	4.1 (R)	2.5	Worsening	2.7	Worsening	CIPFA 3.6 London 3.3 (2015,16 ASCOF)	As in AC/C12 above. The average rate of delays due to assessments for this comparator group is 0.7 per 100,000.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	12% (2)	53% (9)	35% (6)	76% (13)	0% (0)	24% (4)

Adults and Communities has 17 risks. 2 (12%) are Medium Low, 9 (53%) are Medium High, and 6 (35%) are High. 13 risks (76%) reduced or maintained the same score from the previous quarter. 4 (24%) are new risks for this quarter. 10 risks (59%) scored 12 or above and have been escalated to the Strategic Commissioning Board for review this quarter. These are shown below.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
ACO 01	Increased overspend to meet statutory duties	Adults & Communities Delivery Unit could have insufficient resources to meet its statutory duties due to operating in an environment in which there is inherent uncertainty in future demand for services, exacerbated by a potential inability to deliver savings, reduced ability to raise income from clients, the rising cost of care, other in year financial pressures due to unexpected demand, the increasing complexity and cost of care packages, and legislative changes. This could result in harm to individuals, legal challenge, worsening budget overspend, and reputational damage.	Adults and Communities Director	Statutory Duty	The council's budget management process (MTFS) forecasts demographic growth and pressures over a 3 year period. Budget and performance monitoring and management controls are used throughout the year. Work to reduce addressable spend (such as expenditure on agency staff) is being carried out in year. The Joint Strategic Needs Assessment will identify future demand pressures, and the council will undertake initiatives focused on reducing and managing future demand in response, including the Adults' New Operating Model/ Alternative Delivery Vehicle which focus on reducing demand for services and finding more creative ways to manage complex need.	5	5	5	4	20	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC002	Failure of care provider	<p>A care provider could suddenly be unable to deliver services, due to:</p> <ul style="list-style-type: none"> - provider going into administration - failure of regulatory inspection relating to quality of service - care provider chooses not to deliver services - HS&E breach <p>leading to operational disruption to manage the situation, harm to individuals by not having their care and support needs met, unexpected financial consequences, breach of statutory duty.</p>	Head of Integrated Care Quality	Business continuity	<p>For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers.</p> <p>The council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p> <p>A regular report setting out provider risks and concerns is circulated to the DASS and to the DU's Leadership team on a monthly basis and discussed through the regular DASS assurance meeting.</p>	5	5	5	4	20	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
ACO 03	Unacceptable level of quality services provided by care providers	Unacceptable levels of quality of services provided by care provider could lead to additional dedicated Barnet resource needing to be put in place to address the situation, resulting in reduced ability to manage BAU, financial consequences. If the additional resource is not able to address the underperformance of the care provider, this could also lead to harm to individuals, reputational consequences.	Head of Integrated Care Quality	Statutory Duty	For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers. The council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.	4	5	4	4	16	Same	Treat
ACO 04	Surge in demand from NHS	An unpredictable surge in demand from the NHS in situations where there is limited capacity could lead to the DU being unable to meet this demand within the NHS's required timescales. This could result in financial consequences, operational disruption leading to rushed decisions being made that have unintended negative consequences, potentially for individuals that have been discharged, and increased central government scrutiny.	Assistant Director Adult Social Care	Statutory Duty	System-wide resilience monies have been made available and these can be used to buy in extra capacity, subject to agreement by the NHS-led Improvement Board. There are monthly system resilience and operational resilience meetings between LBB, CCG and NHS Provider Trusts to discuss & manage pressures in the system, and to deliver action plans. Daily conference calls are in place to deal jointly with events as these happen.	4	5	3	5	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
ACO 05	Challenges to recruit and retain qualified staff	A challenging job market (rest of London competing for the limited supply of social workers, qualified occupational therapists and other social care staff across all levels) could lead to difficulties in recruiting and retaining sufficient staff, resulting in insufficient staff to meet demand, reliance on agency workers impacting on budget, inability to carry out quality work, knock on effect on morale, non-statutory duties being de-prioritised.	Assistant Director Adult Social Care	Staffing & Culture	The Unified Pay & Reward project puts in place options to offer incentives. The Delivery Unit can also make use of agency staff. There is a workforce development plan in place to mitigate this risk in the medium to long term.	4	4	4	3	12	Same	Treat
ACO 06	Wellbeing and safety of DU staff	The need for staff to work in high-risk situations (in locations with high levels of crime, entering homes on their own, working with volatile individuals) could impact on staff's general wellbeing and could also lead to a Health & Safety incident resulting in harm to Barnet employees, legal challenge, reputational damage as well as lowering workforce morale	Assistant Director Adult Social Care	Health & Safety	Corporate and local HS&E policies and guidance control and mitigate risk. The Delivery Unit records risk flags for certain cases on the client record system. Corporate HS&E training and HS&E audits help discharge the duty of care to staff. Regular supervision is used to address specific issues. Wellbeing initiatives are deployed across the Delivery Unit.	5	4	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC008	Non-adherence to safeguarding policies and procedures	Staff non-adherence to policies and procedures (specifically safeguarding within the Care Act, and London-wide safeguarding policies and procedures), resulting in death or serious harm to individuals, legal challenge, financial loss, decreasing staff morale due to greater pressure and reputational damage.	Head of Safeguarding Adults	Statutory Duty	<p>Staff are required to undertake CPD of 5 days training & development per year, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision. Regular case file audits take place (using a pool of auditors from across the Department). Monthly reporting to leadership team on safeguarding activity. Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted.</p> <p>The Safeguarding Adults Board (multi-agency) meets regularly. Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult reviews (SARs) and the domestic homicide review process.</p> <p>Social workers are required to maintain professional standards for statutory registration with HCPC.</p> <p>Staff are supported and supervised by a senior social worker/ team manager in accordance with policy; in addition supervision, advice and guidance is provided from the Head of Safeguarding and specialist Safeguarding Team.</p>	5	4	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC009	Data protection breach	The high quantity of sensitive information handled by the Adults & Communities Delivery Unit could lead to a data protection breach, resulting in risk to individuals, legal challenge, financial penalty and reputational damage	Head of Performance and Improvement	Statutory Duty	<p>Data protection training is mandatory for all staff. Data protection and information governance policies are in place. DBS checks are required for new members of staff accessing sensitive personal data. There is refresher training and there are regular communications to highlight issues in relation to common breaches.</p> <p>A monthly Information Management Governance Group is in place as the route for raising, identifying and resolving risks and breaches, with strategic ownership over information governance. An action log is being embedded to ensure mitigating actions are implemented.</p>	4	5	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
ACO 11	Breach of mental capacity act or code of practice	Insufficient experienced staff and non-adherence to policies and procedures (permanent and agency, at all levels) to meet rising demand and complexity could lead to breach of the Mental Capacity Act or Code of Practice, resulting in Barnet not acting in someone's best interest (Mental Capacity Act), and as a result serious harm to individuals and/or the ongoing impact of such a breach on an individual's life; legal challenge, financial loss (legal costs) and reputational damage.	Assistant Director Social Care	Statutory Duty	<p>As with safeguarding issues, staff training is in place, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision (and responds to, for example, supervision and other quality audits). Regular case file audits take place (using a pool of auditors from across the Department).</p> <p>Monthly reporting to leadership team on safeguarding activity Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted. The Safeguarding Adults Board (multi-agency) meets regularly.</p> <p>Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult reviews (SARs) and the domestic homicide review process.</p>	5	4	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC019	Capacity in the provider market	Market conditions could create shortages in both generalist and specialist service provision (such as specialist accommodation or Personal Assistants) which in turn could drive up placement prices and challenge the council's ability to meet service users' needs in accordance with its strategic objectives or within the desired budget.	Associate Director, Commissioning, Joint Commissioning Unit	Statutory Duty	The council has developed commissioning strategies and a five year commissioning plan which is updated each year to ensure the market is kept informed about current and future direction. The council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers.	4	4	4	3	12	New	Treat

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	6,054 (6.8%)	341 (0%)	3,383 (100%)

The current projected **revenue** overspend of £6.054m within Adults and Communities represents 6.8 per cent of the total Delivery Budget (£88.968m).

The care budgets within Adults have seen significant overspends since 2014/15 as a result of rising demand for services and increasing complexity in relation to those supported. The main pressure for learning disabilities also continues to be in relation to clients' complex needs increasing and individuals transitioning from children's services into adult services. There are further pressures on the learning and disabilities budget resulting from Ordinary Resident clients transitioning into Barnet.

In 2016/17, demand continues to grow for older adults placements with a particular growth in clients with dementia requiring complex packages of care.

The Deprivation of Liberty Safeguards (DOLS) service continues to have significant pressures in 2016/17, as a result of Supreme Court judgements in 2014/15 and a loss of grant funding since 2015/16. Some of the current pressures are offset by underspends within the non-placement budget areas and these budgets continue to be closely monitored and managed.

The adults **capital** programme is forecast to increase by £0.341m, which is due to a transfer from the IT Strategy project in Commissioning.

Assurance

Successes	Challenges
<ul style="list-style-type: none"> Revised arrangements have been implemented for Residents Forums / Area Committees to enable Forums to be held in constituency areas and be separated from Area Committees. Area Committees will be taking place on separate evenings enabling senior officer representation from the council at every Area Committee meeting. Revised procedures for managing petitions have been implemented, which will improve the speed of the council's response and minimise referrals between committees. Barnet Youth Assembly (a joint Children's Service / Governance Service initiative) has met and considered a number of themes including post-16 education and training and health. Further sessions will take place in Quarter 4 on politics (including a number of external speakers) and community, before a report to the Children, Education, Libraries and Safeguarding Committee on the work of the Assembly is reported in May 2017. Linked to the work of the Assembly, one of the Governance Team has been a judge at the Speak Out Challenge which took place on 24 January. All planned audits for 2016/17 are either complete or underway and are on track to meet our target of 95% of the plan delivered by the end of the year. Publication of the annual revised 'Register of Electors' took place on 1 December 2016 following a successful statutory annual 'HEF' (Household Enquiry Form) canvass of all residential properties in Barnet. This was the first canvass that utilised mobile tablet devices for the delivery of the 'personal visits' element of the canvass – that are necessary where households do not respond to posted forms. Over 51k properties received a personal visit and information was collected from 93.1% of all residential properties in the borough. With the CAFT service, there has been the successful introduction of 'Formal Cautions' as an alternative sanction outcome in accordance with our Fraud Policy. During the quarter, 19 cautions have been administered. 	<ul style="list-style-type: none"> There are budget pressures within the Governance Service relating to the ongoing print and courier costs for committee meeting agendas. Members iPad Workshops will take place in Quarter 4 to help facilitate use of the iPad app and paperless meetings. The Modern.Gov iPad app is now being used for all committee papers. A trial of tablets for members of the public at meetings will also take place to determine if savings can be made on public agendas. Management responses to audit findings are not always achieved within the required timescales for Audit Committee. To increase buy-in, the service has moved to 'Agreed Actions' rather than 'Recommendations' within audit reports; and follow-ups are undertaken on a monthly basis to keep expected actions on officers' radars. Delivery of the 16 recommendations from the Independent 'Smith Review' – an action plan has been drafted to implement these, which is being reviewed by the Assurance Director and Head of Service. Resolving accommodation challenges related to elections. A suitable venue is being sought for future borough-wide elections as the venue at BEST hub (used for the 2016 elections) is not expected to be available in 2018. Long-term storage arrangements for elections equipment and statutory storage of elections documentation is also being sought. All relevant data sets have been successfully uploaded to the National Fraud Initiative (NFI) data matching exercise. For the first time this included wider Barnet Homes data sets.

No service indicators are reported by Assurance.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	29% (4)	71% (10)	0% (0)	100% (14)	0%	0%

The Assurance Group has 14 risks. 4 (29%) are Medium Low, and 10 (71%) are Medium High. All 14 risks (100%) reduced or maintained the same score from the previous quarter. 1 risk (7%) scored 12 or above and has been escalated to the Strategic Commissioning Board for review this quarter. This is shown below.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AG012	Data protection breach in Electoral Services	Insufficient communications and awareness on data protection could lead to a human error data protection breach in Electoral Services, resulting in financial and reputational damage	Head of Electoral Services	Information Governance	All information is kept in one secure software system, with restricted access. Staffs have appropriate training. Policy and working process in place to ensure data is kept secure.	4	5	4	3	12	Same	Treat

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	0 (0.0%)	N/A	304 (86.6%)

Barnet Homes

Successes	Challenges
<ul style="list-style-type: none"> Annual benchmarking analysis completed for the 2015/16 year by independent expert housing consultancy Housemark has shown Barnet Homes to be in the top quartile for a number of indicators when compared with other London Housing providers in the peer group (which includes other London local authorities and ALMO's): <ul style="list-style-type: none"> - Top quartile for the cost of delivering housing management services (ranked no.1) - Top quartile for the cost of delivering repairs and void property refurbishment services (ranked no.2) - Top quartile for the cost of delivering estate services (ranked no.2) - Top quartile for the cost of delivering leaseholder services (ranked no.3)- Top quartile for overall tenant satisfaction (ranked number 5). This is in comparison with all tenant surveys completed over the three year period from 2013/14 to 2015/16. By the end of Quarter 3, the let2barnet service had achieved 454 private sector lettings. This is the best year on record, and means 91% of the annual target has been achieved. To further increase the affordable supply options, the direct acquisitions programme had exchanged or completed on seven new units in London and Bedfordshire. With a further 43 units expected to complete in Quarter 4, this will add valuable additional supply options and help reduce the pressure on the council's General Fund. The Full Business case for the new 53 home Extra Care Scheme at Moreton Close NW7 has been signed off, enabling demolition of the previous sheltered housing scheme to commence. A successful launch event to mark this significant landmark has taken place in November 2016, attended by the Leader and local members. This dementia friendly scheme is expected to be completed in the spring of 2018. 	<ul style="list-style-type: none"> Increased homelessness demand has resulted in a continuing increase in temporary accommodation and associated cost pressures on the General Fund. A range of mitigations are in place to maximise prevention, manage demand and increase affordable supply.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	81% (13)	13% (2)	0% (0)	6% (1)	69% (11)	31% (5)

18 indicators are reported in Q3 2016/17. 16 have been given a RAG rating: 81% (13) are "on or above target" 19% (3) are "below target". 16 have been given a Direction of Travel (DOT) status: 69% (11) have an "improved/same" DOT and 31% (5) have a "worsened" DOT from the same period last year. Of the 3 "below target", 2 are Corporate Plan Indicators and can be found in Appendix A:

- BH/C5 Temporary Accommodation (TA) current arrears as percentage of debit
- BH/KPI1 Numbers of households in Temporary Accommodation

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
BH/C10 (LY: BH/C12)	Percentage of dwellings with a valid gas safety certificate	Bigger is Better	100%	100%	99.94% (GA)	100%	Worsening	100%	Worsening	Upper quartile (Q2 2016/17, Housemark)	There were four properties that fell overdue for an annual gas safety check in December due to complications obtaining legal warrants over the holiday period. The service aim to return to 100% compliance for the month of January.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	13% (1)	75% (6)	13% (1)	87% (7)	13% (1)	0% (0)

Barnet Homes has 8 risks. 1 (13%) is Medium Low, 6 (75%) are Medium High, and 1 (13%) is High. 7 risks (87%) reduced or maintained the same score from the previous quarter, while 1 (13%) increased. 4 risks (50%) scored 12 or above, and have been escalated to the Strategic Commissioning Board for review this quarter. These are shown below.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
TBG 001	Unviable cost of development scheme	<p>The Barnet Group are unable to deliver the portfolio of housing development schemes at a viable cost due to:</p> <ul style="list-style-type: none"> - external factors (change of legislation, economic, confidence in the market, availability of finance) - recruitment and retention of skilled individuals within the development team - viability of house design - planning permission which results in the termination of the scheme, financial impact across council and Barnet Group (impact on staffing and sunk costs), reputational damage, knock on effect on ability to deliver the homelessness agenda 	Strategic Lead Housing	Financial	<p>Membership of professional bodies provides access to market intelligence. We undertake sensitivity analysis/stress testing of the financial business plan, with external support.</p> <p>There is a permanent team in place with relevant skills, and professional support from a team of advisors. TBG's governance structure, and reporting to the senior leadership of the council and project boards, also contributes.</p> <p>Upfront work is undertaken with RE to ensure schemes are viable (e.g. planning), and there are upfront surveys of sites.</p> <p>There is also a stakeholder engagement plan, the council's project management toolkit, and council resource in place to support TBG. The council has agreed to use RTB receipts to help fund the scheme. Finally, there is an agreed procurement strategy</p>	5	4	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
TBG 003	Increase in demand for homelessness services	An unexpected increase in the amount of homelessness leads to an increase in demand for services from people at risk of homelessness which results in financial impact in the area of costs to the council general fund, reduction in the supply of suitable properties, heightened risk of H&S and compliance incidents, an inability to meet statutory and legal responsibilities.	Strategic Lead Housing	Financial	<ul style="list-style-type: none"> - Homelessness prevention strategy - Ongoing project to look at further ways of reducing homelessness (Prevention work / Modular Temporary Accommodation) - Performance indicators and financial monitoring - Horizon scanning of legislation changes - professional memberships - in house lettings agency for procurement of PRS properties - Supply and demand modelling - Links to growth and regeneration operations board - Development pipeline - Out of borough acquisitions -Processes which prevent families and children being in B&B accommodation 	5	5	3	4	12	Increased	Treat
TBG 007	Employee H&S Incident	The need for staff to work in high-risk situations, entering homes on their own, working with volatile individuals) could lead to a Health & Safety incident resulting in harm to Barnet employees, legal challenge, reputational damage.	Barnet Group, Director of Corporate Services	Health & Safety	<p>Policies and procedures for health and safety are in place, including the H&S management system, and the lone working system. Staff undertake training, and there is an induction for new staff.</p> <p>Structures are also in place for contact management, and risk assessments are undertaken. We have a register of those who are violent and abusive, as well as a Vulnerable Tenant password scheme.</p>	5	4	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
TBG 008	Data Protection breach	The high quantity of sensitive information handled by the Barnet Group could lead to a data protection breach, resulting in risk to individuals, reputational damage, legal challenge, and financial penalty.	Barnet Group, Director of Corporate Services	Information Governance	We have data protection policies and procedures, and control access to our systems, including Housing Management, HR, Finance, and Business Intelligence. We provide training through e-learning, including an annual refresher. Data protection issues are also covered in induction, and there is specialist training for specific groups. We undertake publicity and promotional campaigns, and have a dedicated DPO and Data Protection Specialist.	4	5	4	3	12	Same	Treat

Finance (Housing Needs and Resources)	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	178 (3.2%)	-5,113 (-0.4%)	N/A
Finance (HRA)	N/A	-572 (-2.2%)	N/A

The **revenue** forecast outturn is an overspend of £0.178m (3.2%) of the latest budget. The overspend has been driven by a sustained demand for temporary accommodation and high rental prices exceeding the government payments received by the council.

The Housing Needs and Resources **capital** programme has decreased by £5.113m. This is in relation to the development pipeline which, in the proposed current budget being submitted to the Policy and Resources Committee in February, will form part of a consolidated budget for support to Open Door.

Commissioning Group

Successes	Challenges
<ul style="list-style-type: none"> Crime (as measured by offences included in the Mayor's Office for Policing and Crime set, such as burglary, vandalism, criminal damage, theft of or from a motor vehicle, violence with injury, robbery and theft from the person) has reduced by 20.5% since 2011/12. This exceeds its target reduction, and is an improvement upon both Quarter 2 (by 2.5 percentage points) and Quarter 3 of last year (by 3.5 percentage points). A pop-up business school has been held with good outcomes for local entrepreneurs. This has been delivered through a partnership of Hammersons, Barnet and Southgate College, and Microsoft. Re has secured places for 45 apprentices in its regeneration activities, exceeding the annual target of 15. The apprentices started on site by December 2016. Overall satisfaction with customer services has risen by 12 percentage points since the same point last year, and is now exceeding its target. This is complemented by increased satisfaction with the council's website, which has also exceeded both its quarterly and annual target, and has improved by four percentage points on Quarter 2 and 10 percentage points on the same quarter last year. Furthermore, more customer service transactions are being completed via a self-service channel than last quarter, exceeding the target by four percentage points. 74% of contacts were resolved first time in Quarter 3, also improving on the previous quarter, due to addressing staffing gaps experienced in Quarter 2. 	<ul style="list-style-type: none"> There is a need to improve the traffic flows and parking across the borough, which will also help to maintain road safety and air quality, and continue work at regional and national level to improve radial routes for public transport. In the autumn Residents Perception Survey (RPS)¹, the percentage of residents who were concerned about traffic congestion had risen since the spring, and was above the target (after taking account of the 4% confidence interval). Resident satisfaction with Barnet as a place to live remains high at 85% and above the London average (83%). However, it has fallen short of the 90% target (after taking into account the 4% points confidence interval)¹. This also represents a slight drop in satisfaction when compared with the spring survey (89%), and the autumn survey last year (88%). The detection rate for domestic abuse cases involving violence with injury has decreased by 0.9 percentage points since Quarter 2, and by 4.8 percentage points compared to the same period last year.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	71% (17)	25% (6)	4% (1)	0% (0)	54% (13)	46% (11)

36 indicators are reported in Q3 2016/17. 24 have been given a RAG rating: 71% (17) are "on or above target" and 29% (7) are "below target". 24 have been given a Direction of Travel (DOT) status: 54% (13) have an "improved/same" DOT and 46% (11) have a "worsened" DOT from the same period last year. Of the 7 "below target", 4 are Corporate Plan Indicators and can be found in Appendix A:

- CG/S15 Performance of services;
- CG/S16 Percentage of residents who are satisfied with Barnet as a place to live
- CG/S18 Percentage of respondents very or fairly satisfied with the service provided by their social housing provider (Barnet Homes)
- CG/S26 Customer cases that are closed within the agreed timescales

3 are Service Indicators (in the Theme Committee Commissioning Plans and/or Commissioning Group Business Plan) and are set out below.

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
CG/C17	Percentage of residents who are concerned about traffic congestion ¹	Smaller is Better	18.0%	18.0%	23.0% (Autumn 2016) (GA)	22.0% (Spring 2015)	Worsening	26.0% (Autumn 2015)	Improving	No benchmark available	
CG/C23	Sickness absence	Smaller is Better	6 days	6	7.88 (GA)	8.23	Improving	New for 2016/17	New for 2016/17	No benchmark available	The council is committed to achieving an overall sickness absence target of 6 days per annum. In order to support this, more robust sickness triggers have been introduced through Unified Reward (UR) that will enable the council to act earlier on sickness absence.
CG/C24	Running costs of estate (designated civic buildings only)	Smaller is Better	£4.47m	£3.40m	£3.60m (GA)	£1.56m	Improving	New for 2016/17	New for 2016/17	No benchmark available	The overspend in estate relates to the additional security required across civic buildings, reactive repairs and maintenance and the leasing in of some additional properties.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	15% (3)	85% (17)	0% (0)	100% (20)	0% (0)	0% (0)

The Commissioning Group has 20 risks. 3 (15%) are Medium Low, and 17 (85%) are Medium High. All 20 risks (100%) reduced or maintained the same score from the previous quarter. 6 risks (30%) scored 12 or above and have been escalated to the Strategic Commissioning Board for review this quarter. These are shown below.

¹ A representative sample of 500 residents (adults, 18+) from across the London Borough of Barnet. Confidence intervals for a sample of 500 = +/-4.4% (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). London data taken from Survey of Londoners 2014/15 (November 2014) - a representative random sample of approximately 1,000 adults in London. National data taken from LGA public poll on resident satisfaction (October 2016) – a representative random sample of approximately 1,000 British adults polled by telephone once a quarter.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
SPPC 004	Breach of confidentiality	Ineffective delivery unit, partnership management and oversight leads to a significant breach of confidentiality and/or loss of personal data resulting in data protection breach, financial cost, reduced service levels to residents and damage to reputation	Head of Information Management	Information Governance	Information Management's framework of policies, and specifically data protection toolkit controls this risk. There is effective incident management, and Information Management Governance Groups, as well as ICO audits.	4	5	4	3	12	Same	Treat
SPPC 007	Delivery of the Way we Work programme (Smarter Working & office moves)	If the programme is unable to deliver changes to how and where staff work, there may be insufficient adequate office space, resulting in financial consequences, staff recruitment and retention issues and reputational damage.	Director of Resources	Financial	Specialist resource has been brought in to deliver the programme, including a change manager. Officer governance bodies are in place to oversee delivery, and project management methodology is followed. Staff engagement and communications have started with focus on travel planning. Agreed scope for what must be delivered to ensure staff are able to change how they work.	4	4	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
SPPC 011	Depot Relocation - Service Disruption	Potential unsuccessful delivery of depot project could lead to inefficient fragmentation of services delivered from depots resulting in service disruption, poor customer satisfaction, financial impact, loss of operating licence, and/ or reputational damage.	Chief Operating Officer	Statutory Duty	There is service representation on governance boards, with regular engagement with senior managers across services, and the detailed requirements are understood. Project management methodology is being utilised, with detailed project plans and risk registers, and we have a contracted delivery partner. Additional resources for coordination of service transition have been agreed. The initial moves are progressing well, such as the Passenger Transport Service, which has moved to North London Business Park and of Street Scene services which have moved to the Harrow depot. Construction of the new site at Oakleigh Road is progressing to plan.	5	4	4	3	12	Same	Tolerate
SPPC 012	Depot Relocation - Late withdrawal	Potential unsuccessful delivery of the depot project could lead to a late withdrawal from Mill Hill depot resulting in a potential delay of a major income source, financial penalties from site purchasers, reputational damage.	Chief Operating Officer	Financial	A phased exit plan has been agreed with the site purchasers, and we have a contracted delivery partner. Project management methodology is being utilised. On track to meet requirements of first phase of transfer of land to purchasers before 31/12/2016.	4	5	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
SPPC 014	Inconsistent key messaging and communications approach	Organisational structure means that there is an increased need for stewardship of stakeholders & organisations who can impact on the council's reputation. Without this the council could suffer from inconsistent key messaging and communications approach from organisations commissioned under Barnet name, resulting in significant media scrutiny, reduced trust in the council from residents and Members, confusion in message to key audiences, and reputational damage.	Head of Communications	Staffing & Culture	A new structure and operating model is being embedded to improve relationship management with all parties. Working protocols are being developed with all parties through the development of communication networks and relationship building. Management of all media is directed through the central team. All posts in the Strategic Communications Team have now been recruited to and are building relationships with stakeholders.	5	4	4	3	12	Same	Treat
COM 05	Inadequate commercial and clienting arrangements	A shortage of the required skillset within local government market and the length of the recruitment process for permanent hires prevents the recruitment of the required number of specialist contract management staff to deliver a full service. This leads to an over reliance on interims, reduced capacity, increased financial cost and reduced benefit realisation.	Commercial Director (Interim)	Staff & Culture	Gaps have been filled with interim postholders, and internal resource has been identified and trained as well.	4	5	3	4	12	Same	Treat

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	0 (0.0%)	-16,417 (-48.4%)	2,211 (91.7%)

The Commissioning Group **capital** forecast includes the IT Strategy budget transfer to Adults (£0.341m), slippage in relation to the Depot relocation (£8.000m), community centre build (£2.000m) where the procurement phase has taken longer than expected and the Sports and Physical Activity project where a longer design phase than planned has delayed the start of the build from the original January date (£5.717m).

Customer and Support Group (CSG)

Successes	Challenges
<ul style="list-style-type: none"> The 3 year review of the CSG contract has been approved by the Council in December 2016. The review demonstrated CSG delivered significant benefits to the borough, saved over £31m and improved resident satisfaction, along with offering the council new savings opportunities. The Unified Reward went live as planned for corporate staff during the period, the next phase of the programme of work focuses on schools and the go-live of the performance reviews for corporate staff. Business Partners and HR advisors have been heavily involved in this transition (contract review/appeals/TU liaison) and will continue to be as the schools transition over the coming months. The first phase of the Employee Benefits solution also went live in the period as planned. Quarter 3 has been the best quarter since the Customer Services was transferred to CSG, with all KPI's achieved in the period and only 1 minor PI failure in October 2016. Web customer satisfaction achieved 52% in Quarter 3, which is a 7% increase on the previous quarter. This has resulted in Barnet Council achieving 3rd place in the channel satisfaction index league table for October and 8th place in November This was the first time since service transfer that web satisfaction has entered the top ten. 	<ul style="list-style-type: none"> A number of escalations were received in respect of Integra issues and performance. Steps have been taken to improve the performance of the Integra finance system, including a significant increase in the network connection capacity along with system configuration improvements, although there are still performance issues. Property Services management of issues and proactive feedback to enquiries from the client and/or members of the public still needs improvement.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	100% (21)	0% (0)	0% (0)	0% (0)	89% (16)	11% (2)

25 indicators are reported in Q3 2016/17. 21 have been given a RAG rating: a100% (21) of the indicators were “on or above target”. 18 have been given a Direction of Travel (DOT) status: 89% (16) have an “improved/same” DOT and 11% (2) have a “worsened” DOT from the same period last year.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	17% (4)	75% (18)	8% (2)	92% (22)	0% (0)	8% (2)

The Customer and Support Group has 24 risks. 4 (17%) are Medium Low, 18 (75%) are Medium High, and 2 (8%) are High. 22 risks (92%) reduced or maintained the same score from the previous quarter, while 2 (8%) are new risks. 4 risks (17%) scored 12 or above and have been escalated to the Strategic Commissioning Board for review this quarter. These are shown below.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk <i>(without controls)</i>		Residual Risk <i>(with controls in place)</i>			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
CSG 12	IT service failure	Poor or non-maintenance by supplier of IT infrastructure, network services and applications at desired levels of speed resilience and security due to mismanagement and/or inadequate technical specification, leads to an IT service failure resulting in loss of critical service provision and associated ability to provide service continuity with accompanying reputational damage and cost to remedy (and potential litigation in event of breach of statutory obligations)	Head of Information Management	Business continuity	To address this risk, we have a validated network design and dedicated infrastructure staff. Network design is validated through Public Services Network certification and Capita third party assurance. Dedicated infrastructure staff within Capita are focused on the control of the Barnet infrastructure. Capacity checks on wireless network are currently taking place to increase speed and resilience.	5	4	5	3	15	Reduced	Treat
CSG 13	IT service obsolescence	Inability of current infrastructure to handle multiple service applications due to portfolio of systems not being managed properly, with many approaching end-of-life, resulting in outdated and unusable systems, poor-performing systems and potential security breaches	Head of Information Management	Business continuity	Network design is validated through Public Services Network certification and Capita third party assurance. Dedicated infrastructure staff within Capita are focused on the control of the Barnet infrastructure. Capacity checks on wireless network are currently taking place to increase speed and resilience.	4	5	4	4	16	Reduced	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
CSG 15	Unsuccessful delivery of IT projects	Poor implementation of IT projects due to lack of appropriate skills / capability in supplier, resulting in adverse impact on existing service provision, non-realisation of intended benefit(s) from projects and increased project costs/extended timetable.	Head of Information Management	Business continuity	IT projects are managed as a portfolio and pipeline, overseen by a monthly programme board, this is now delivered with a new Head of Projects who joined the team at the end of last year and reviewed all of the processes and resource on the team, also we are now using the services of an external consultant for Technical Assurance	3	5	3	4	12	Same	Treat
CSG 16	H&S advice	Timely and/or competent H&S advice not provided to organisation due to absence of appropriately skilled / experienced staff, resulting in health and safety risks not being properly managed, possible injury/ies and potential reputational damage.	Head of Safety, Health and Wellbeing	Health & Safety	There is a "split" service, with access to additional H&S advice available as required. We have Barnet-based staff with H&S knowledge of local issues, plus a statutory officer in place.	4	4	4	3	12	Same	Treat

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	500 (2.3%)	N/A	N/A

The projected **revenue** overspend of £0.500m within the Customer and Support Group represents 2.3 per cent of the total Delivery Unit budget (£22.090m). The projected overspend is due to additional security costs and reduced income.

Education and Skills

Successes	Challenges
<ul style="list-style-type: none"> Following the smooth transfer of services to Cambridge Education in April 2016, service reviews have been completed for all service areas in the first 100 working days of the contract with the council and structural changes, efficiency measures and plans for growth are now being put in place. During Quarter 3 the percentage of good or outstanding schools in Barnet rose to over 94%. The rate of completions of new Education, Health and Care Plan assessments within 20 weeks has risen each month since June after excluding allowed exceptions: October (88%); November (94%); and December (100%) 	<ul style="list-style-type: none"> It is estimated that Barnet schools on average will lose 1% of current funding by 2019/20 as a result of the introduction of the National Funding Formula. This comes on top of growing pressures on school budgets arising from increases in employers' National Insurance and pension contributions. As a result a growing number of schools are facing financial challenges. Continuing growth in pupil numbers requires careful planning of school places and liaison with the Department of Education (DfE) and Education Funding Agency over the opening of new Free Schools. The implementation of the SEN Reforms in relation to the completion of statutory processes remains a challenge.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	75% (9)	17% (2)	0% (0)	8% (1)	77% (10)	23% (3)

26 indicators are reported in Q3 2016/17. 12 have been given a RAG rating: 75% (9) are “on or above target” and 25% (3) are “below target”. 13 have been given a Direction of Travel (DOT) status: 77% (10) have an “improved/same” DOT and 23% (3) have a “worsened” DOT from the same period last year. Of the 3 “below target”, 1 is a Corporate Plan Indicator and can be found in Appendix A:

- CES/S1 Percentage of primary schools rated as ‘good’ or better

2 are Service Indicators (in the Children, Education, Libraries and Safeguarding Committee Commissioning Plan and/or Cambridge Education contract) and are set out below.

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
CES/S18-2	Combined percentage of 16-18 year olds who are not in education, employment of training and those whose current activity is not known to the local authority	Smaller is Better	London Top Quartile	7.6%	18.8% (R)	3.8%	Worsening	8.6%	Worsening	West London and Barnet 20.9% (November 2016, West London Partnership Support Unit)	Local authorities are no longer responsible for collecting the destinations of 18 year olds. This came into force in September 2016 but management reports will not reflect this change until April 2017. As of November 2016, NEET and Not Known combined % for 16/17 year olds was 5.5% (8 th in London, excluding City of London).
CES/S2	The percentage of pupils in primary schools judged as good or better by Ofsted	Bigger is Better	95.0%	95.0%	94.0% (GA)	95.3%	Worsening	91.8%	Improving	England 90.2%, London 93.5% (January 2017, Watchsted)	The monitoring, support and challenge school improvement policy sets out the level of support offered to schools

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	25% (5)	75% (15)	0% (0)	100% (20)	0% (0)	0% (0)

Education and Skills has 20 risks. 5 (25%) are Medium Low, and 15 (75%) are Medium High. All 20 risks (100%) reduced or maintained the same score from the previous quarter. No risks scored 12 or above, to be escalated to the Strategic Commissioning Board for review this quarter.

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	75 (1.1%)	-31,376 (-44.0%)	85 (100%)

The **revenue** forecast shows an overspend of £0.075m (1.1%) on the current budget, as a result of increased support service charges.

The Education and Skills **capital** forecast includes slippage of £31.376m, mainly as a result of school build and expansion funding being re-profiled into future years.

Family Services

Successes	Challenges
<ul style="list-style-type: none"> • New Park House children’s home maintained their Outstanding Ofsted rating in their latest inspection. • The number and percentage of 2 year olds in a Free Entitlement to Early Education place reached its highest level in Quarter 3. • A new CYP-IAPT (Children & Young People - Improved Access to Psychological Therapies) service will co-locate 4 trainee Psychological Wellbeing Practitioner posts within Barnet Family Services next month for one year. 	<ul style="list-style-type: none"> • Ensuring that Barnet has high quality resilience based practice across Family Services. Practice Development Workers have been appointed to support the pace of progress in practice improvements. The Quality Assurance framework has been strengthened to improve the quality of audit, and increased audit activity has taken place across the service. Training sessions on Signs of Safety have commenced, with an advanced session being held with Practice Leaders in the next quarter. • Recruitment to social work posts to reduce the number of vacant posts and locum cover. The recruitment campaign is ongoing with an increased reduction of vacant and locum posts within Children’s Social Care. • Ensuring that social workers have the tools they need to do their job effectively. 1.5 million documents are being migrated to a single IT system, which will make it easier for social workers to locate the information they need.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	71% (15)	19% (4)	5% (1)	5% (1)	82% (9)	18% (2)

32 indicators are reported in Q3 2016/17. 21 have been given a RAG rating: 71% (15) are “on or above target” and 29% (6) are “below target”. 11 have been given a Direction of Travel (DOT) status: 82% (9) have an “improved/same” DOT and 18% (2) have a “worsened” DOT from the same period last year. Of the 6 “below target”, 1 is a Corporate Plan Indicator and can be found in Appendix A:

- FS/S2 Children made subject to Child Protection Plan for a second or subsequent time.

5 are Service Indicators (in the Children, Education, Libraries and Safeguarding Committee Commissioning Plan and/or Family Services Management Agreement) and are set out below.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
FS/C18	Percentage of children in care with three or more placements during the last 12 months	Smaller is Better	10.0%	11.5%	12.5% (GA)	11.3%	Worsening	New for 2016/17	New for 2016/17	Statistical Neighbours 11.33% London 11% England 10% (2014/15, LAIT)	The small increase in this indicator is due to appropriate moves as a result of permanence plans, complex adolescents with challenging behaviours and one baby who moved a number of times due to hospital admissions and court directions.
FS/C26	Percentage of CLA visits taken place within timeframes	Bigger is Better	95.0%	95.0%	83.5% (GA)	90.2%	Worsening	New for 2016/17	New for 2016/17	No benchmark available	This indicator continues to improve. It is not yet reaching the target as a result of recording issues due largely to some staffing changes in the service during Q3 resulting in reduced team manager capacity for a period.
FS/C37	Percentage of CLA who have had a timely initial health assessment in the last 6 months	Bigger is Better	95.0%	95.0%	4.9% (R)	10.2%	Worsening	New for 2016/17	New for 2016/17	No benchmark available	Meetings with our Health partners are taking place regularly to improve this indicator. All initial assessments up until the end of December have been completed and moving forward it is expected that collaborative work and new ways of working will start to show signs of improvement in this indicator.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
FS/C38	Percentage of CLA who have had a health timely assessment (under 5 6 months, over 5 annual)	Bigger is Better	95.0%	95.0%	92.4% (GA)	82.7%	Improving	New for 2016/17	New for 2016/17	Statistical Neighbours 90.9% (2014/15, DfE)	Measures have been put into place to ensure that health assessments and dental visits take place within timeframes which we are confident will show improvement in the next quarter.
FS/C39	Percentage with dental checks in the previous 12 months	Bigger is Better	85.0%	85.0%	60.5% (RA)	57.9%	Improving	New for 2016/17	New for 2016/17	Statistical Neighbours 88.4% (2014/15, DfE)	Measures have been put into place to ensure that health assessments and dental visits take place within timeframes which we are confident will show improvement in the next quarter. There are currently health assessments and dental visits which need to be put on the system and this is impacting on this number currently.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	6% (1)	82% (14)	12% (2)	94% (16)	0% (0)	6% (1)

Family Services has 17 risks. 1 (6%) is Medium Low, 14 (82%) are Medium High, and 2 (12%) are High. 16 risks (94%) reduced or maintained the same score from the previous quarter, and 1 (6%) is a new risk. 6 risks (35%) scored 12 or above and have been escalated to the Strategic Commissioning Board for review this quarter. These are shown below.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
FS001	Significant child safeguarding incident	Inappropriate response or poor decision-making around a case leads to a significant children's safeguarding incident, resulting in increased risk of significant harm or death of a child, and reputational damage.	Asst. Director, Social Care	Statutory Duty	<p>Elements of the Practice Improvement Plan have been implemented (including training). Delivery of the plan is monitored regularly and overseen by a Board chaired by the Chief Executive.</p> <p>Supervision and practice standards help to control this risk, as well as quality assurance activity.</p> <p>We provide assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Social Work Improvement Board, to ensure scrutiny and oversight. The lead member meets monthly with service leads to provide oversight.</p>	5	5	4	4	16	Same	Treat
FS004	Serious gang-related incident	As a result of inappropriate decision making, which could be exacerbated by a lack of timely access to information, a gang and serious youth violence related incident could occur involving one or more young people within the borough resulting in a child death and reputational damage.	Asst. Director, Social Care	Health & Safety	<p>Our Gangs and Serious Youth Violence Strategy is overseen by the Community Safety Partnership Board and Youth Offending Partnership Board. We also have a gangs operational group, and a gangs, missing and child sexual exploitation strategic group.</p> <p>Our gangs operational protocol and screening tool helps control this risk, as well as the Keeping Young People Safe preventative project.</p> <p>A new multi-disciplinary team is being established to deliver intensive, wraparound interventions for high risk adolescents.</p>	5	5	4	4	16	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
FS007	Data Protection Breach	The high quantity of sensitive information handled by the Family Services DU could lead to a significant data protection breach, resulting in risk to individuals, reputational damage, legal challenge, financial penalty	Head of Service Commissioning & Business Improvement	Information Governance	The Information Management and Governance Group meets monthly, and reviews policies and procedures. There is mandatory data protection training for new starters. Data protection refresher training is also on offer. We also circulate lessons learned through newsletters.	5	5	4	3	12	Same	Treat
FS010	Inability to achieve savings targets	An increase in demand for social care services could lead to the Delivery Unit being unable to achieve the social care demand savings target resulting in financial consequences across the rest of the delivery unit services, reduction in performance of the delivery unit	Asst. Director, Social Care	Financial	Our Family Friendly 2020 programme, and Practice Improvement Plan, help control this risk.	4	5	4	3	12	Same	Treat
FS011	Inability to recruit and retain qualified staff	A challenging job market could lead to an inability to recruit and retain sufficiently qualified permanent staff resulting in reliance on agency workers, impacting on budget, inability to carry out quality work, lower morale, significant safeguarding incident	Asst. Director, Social Care	Staffing & Culture	Our Practice Improvement Plan includes a workforce recruitment strand. There is also an organisational development workforce board, and a market factors supplement is available. An innovative model is in place with is successfully converting agency social workers to permanent contracts. Building the Barnet brand and offering an attractive training offer, including through the Practice Academy.	5	5	4	3	12	Reduced	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
FS018	Non receipt of information or intervention from key partner agencies	Capacity pressures of delivery on key partners (Police, Health, Education), exacerbated by partners not buying into the vision of the new Barnet model of resilience, could lead to non-receipt of information and/or interventions from key partner agencies, resulting in harm to an individual, reputational damage and/or a financial impact	Family Services Director	Statutory Duty	The Children and Young People Plan has been developed and key partnership boards are in place (BSCB, Children's Partnership Board, Health and Wellbeing Board). Joint commissioning relationships are in place with Health. An early intervention strategic group has multi-agency representation. Resilience workshops are being rolled out to the service and partnership. Partners are engaging with Signs of Safety training.	4	5	4	3	12	Same	Treat

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	988 (1.9%)	-4,139 (-42.8%)	1,036 (52.2%)

The projected **revenue** overspend of £0.988m within Family Services represents 1.9 per cent of the total Delivery Unit budget (£51.044m). This is primarily due to an increase on 0-25 in relation to the increase in the cost of current placements, costs transferred from Children Looked After or Special Educational Needs and young people moving out of home into supported living as they become more independent. There is also an increase in the number of agency staff covering vacant posts and pressure on the unaccompanied asylum seeking children budget. The delivery unit has been working to reduce the level of agency staff. The overspends are partially offset by managing contractual increases.

The **capital** forecast is slippage of £4.139m and is largely due to the libraries project which, whilst started, will not complete until 2017/18.

HB Public Law

Successes	Challenges
<ul style="list-style-type: none"> The team has worked closely with Barnet Homes this quarter, including assisting them with the delivery of their out of borough acquisitions programme. This is a new high profile programme for Barnet. Since April 2016 HBPL has successfully recruited permanent staff to the following teams: Contracts and Procurement; Litigation; Planning; Property; and Social Care. 	<ul style="list-style-type: none"> The service continues to experience difficulties in recruiting legal staff in some key areas, particularly contracts, where a market supplement has been agreed. The practice suffered a significant number of IT issues during the period, some of which affected all Harrow employees, some specific to HBPL staff. Given the practice's total reliance on its IT, such outages are costly (clients are not charged for down time), frustrating for staff, and unhelpful to its reputation.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	92% (11)	0% (0)	0% (0)	8% (1)	50% (6)	50% (6)

13 indicators are reported in Q3 2016/17. 12 have been given a RAG rating: 92% (11) are “on or above target” and 8% (1) are “below target”. 12 have been given a Direction of Travel (DOT) status: 50% (6) have an “improved/same” DOT and 50% (6) have a “worsened” DOT from the same period last year. The 1 “below target” is a Service Indicator (in the HB Public Law contract) and is set out below.

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q2 2015/16 Result	DOT Long Term (From Q2 2015/16)	Benchmarking	Comment where “below target”
HBPL/C1	Acknowledge emails within 1 working day	Bigger is Better	95.0%	95.0%	91.8% (R)	94.9%	Worsening	92.9%	Worsening	No benchmark available	Not all emails received require a response.

HBPL measures risk in accordance with the Lexcel (Law Society). Risk cases are reported to the Barnet Monitoring Officer.

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	57 (2.8%)	N/A	N/A

Mortuaries

Successes	Challenges
<ul style="list-style-type: none"> The parish funeral function for Brent is now under the direction on the shared mortuary rather than adult social care. This provides an efficient service to support those that are unable to make funeral arrangements or cannot afford to do so. This change will result in a significant improvement in the time taken to deal with cases where there is no next of kin to weeks rather than months. The Mortuaries team benefit from a working knowledge of the majority of parish funeral of cases and already work closely with coroner's officers, which should significantly improve service delivery. Through the North London Coroner's group it has been agreed to manage, via the coroner's office, the number of post mortems and storage across Brent and Haringey's sites. This would mean setting a typical daily number to ensure maximum efficiency on days that a pathologist is available. This reduces the chances of post mortems being cancelled by pathologists due to low numbers or excessively high numbers that impact on quality and additional stress on mortuary staff. Mortuaries managed a high volume of bodies through the Christmas and New Year period, when funeral directors and cremations were limited. This resulted in a continued service across the boroughs, ensuring that the deceased and their relatives are treated with dignity as quickly as possible after death. 	<ul style="list-style-type: none"> Long term recruitment of permanent staff to replace a member who resigned in July. Despite three attempts to recruit no suitable applicants have been found. Agency staff are being used for an interim period to ensure service quality is maintained. Ensuring sufficient capacity to cope with a high volume of deaths either over a short or sustained period, which significantly exceeds the normal operating levels of the mortuary. Ensuring funerals of people that have no next of kin, or are unable to pay, are dealt with by each local authority promptly, to avoid impacting on storage capacity and reputation.

No service indicators are reported by Mortuaries.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	22% (2)	22% (2)	56% (5)	0% (0)	89% (8)	11% (1)	0% (0)

Mortuaries has 9 risks. 2 (22%) are Low, 2 (22%) are Medium Low, and 5 (56%) are Medium High. 8 risks (89%) reduced or maintained the same score from the previous quarter, while 1 risk (11%) increased. No risks scored 12 or above, for escalation to the Strategic Commissioning Board for review this quarter.

Parking and Infrastructure

Successes	Challenges
<ul style="list-style-type: none"> The relocation of the Highways Direct Labour Organisation (DLO) and Reactive Highway Maintenance from Mill Hill Depot to Harrow Depot has been a real challenge; however, this was successfully delivered and mobilised with minimal disruption to service. The service is fully operational including winter gritting service. During Quarter 3, a full consultation was carried out with residents on Disabled Persons Freedom Passes. There has been positive feedback from service users and councillors in respect to the proposed changes, which are intended to meet the council's vision for its Disabled Persons Freedom Pass application and renewals process to be an exemplar high quality process that provides the best user experience possible for our residents. During Quarter 3 the DVLA conducted a GIAA Tier 3 Audit and achieved the following outcome of 'Green', which demonstrated a high level of compliance. 	<ul style="list-style-type: none"> The volume of work coming from the Moving Traffic Contravention roll-out has placed pressures on the parking client team. A new parking performance officer has been recruited, which will partially help towards resourcing this area; and a full review of the structure is being carried out to ensure adequate resources going forward. Making improvements to appeal outcomes. Additional time and resources are being allocated to improve current processes. Recruitment of good quality and experienced officers continues to be a challenge. A range of opportunities are being explored for recruiting staff, including possible redeployments from other services.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	71% (5)	14% (1)	0% (0)	14% (1)	29% (2)	71% (5)

7 indicators are reported in Q3 2016/17. All 7 have been given a RAG rating: 71% (5) are "on or above target" and 29% (2) are "below target". All 7 have been given a Direction of Travel (DOT) status: 29% (2) have an "improved/same" DOT and 71% (5) have a "worsened" DOT from the same period last year. Of the 2 "below target", 1 is a Corporate Plan Indicator and can be found in Appendix A:

- PI/S3 (RPS) Percentage of residents who are satisfied with parking services

1 is a Service Indicator (in the Environment Committee Commissioning Plan and/or Parking and Infrastructure Business Plan) and is set out below.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
PI/C3	Parking - Response processing in time: Response provided within legislative timescales in relation to correspondence	Bigger is Better	100%	99.0%	98.7% (GA)	98.1%	Worsening	100.0%	Worsening	No benchmark available	This is due to the festive season. There was a reduction of working days, thus missing the 99% target by 0.29%. The matter will be raised with NSL at the monthly KPI and Performance meeting scheduled for 20 January 2017.

Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	58% (7)	42% (5)	0% (0)	50% (6)	8% (1)	42% (5)

Parking and Infrastructure has 12 risks. 7 (58%) are Medium Low, and 5 (42%) are Medium High. 6 risks (50%) reduced or maintained the same score from the previous quarter and 1 (8%) increased. 5 (42%) are new risks. No risks scored 12 or above, for escalation to the Strategic Commissioning Board for review this quarter.

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	-56 (-2.90%)	-261 (-17.90%)	1,030 (91.2%)

The **revenue** forecast is an underspend of £0.056m and is primarily as a result of savings on carbon emissions and abandoned vehicles contract payments.

The **capital** budget has slipped by £0.261m as a result of delays to the lines and signs and town centre bays projects which have slipped into 2017/18.

Public Health²

Successes	Challenges
<ul style="list-style-type: none"> Over 300 enquiries have been received by the Community-Centred Practices Mental Health Programme Provider in response to invitations from the two surgeries. Two more schools have achieved the Gold award for Healthy Schools London. Barnet now has nine Gold awards in total placing it in a joint first place across the 33 London boroughs. The new Barnet Young People's Drug and Alcohol Service (Barnet YPDAS) was launched in December 2016 with support from Barnet's young people and a broad range of stakeholders. The new service has reached agreements with a number of stakeholders to provide satellite sites to ensure young persons are seen at a place which is easy for them to get to and where they feel most comfortable. An Educational Portal has been developed for Barnet Schools to access advice and support online or directly with the Barnet YPDAS Lead practitioner. Barnet Adult Substance Misuse Service have successfully recruited two Hidden Harm Workers who will identify and support parents/carers involved in problematic drug and/or alcohol misuse and minimise the impact of this substance misuse on their children. Barnet Adult Substance Misuse Service has commenced a 12 month Identification and Brief Advice (IBA) Enhanced Service by delivering training to frontline staff. 	<ul style="list-style-type: none"> Difficulties filling sessions for Making Every Contact Count (MECC) training resulted in a session being cancelled in September. Further sessions have taken place in October, with 66 people being trained to date (November 2016). Challenges in identifying options for the smoking cessation service in the context of changes in the Sustainability and Transformation Plan (STP) landscape and reducing budgets, as well as the forthcoming Pan-London Smoking Channel Shift project that Barnet will be participating in. In the interim, a specialist smoking cessation trainer has been appointed to deliver up-to-date training and CO monitor calibration in 2017.

Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	86% (18)	0% (0)	0% (0)	14% (3)	61% (11)	39% (7)

22 indicators are reported in Q2 2016/17. 21 have been given a RAG rating: 86% (18) are "on or above target" and 14% (3) are "below target". 18 have been given a Direction of Travel (DOT) status: 61% (11) have an "improved/same" DOT and 39% (7) have a "worsened" DOT from the same period last year. Of the 3 "below target", 1 is a Corporate Plan Indicator and can be found in Appendix A:

- PH/S5 Smoking prevalence

2 are Service Indicators (in the Public Health & Wellbeing Commissioning Plan and/or Public Health Management Agreement) and are set out below.

² Reported a quarter in arrears, so refers to Quarter 2 2016/17

Ref	Indicator	Polarity	2016/17 Annual Target	Q2 2016/17 Target	Q2 2016/17 Result	Q1 2016/17 Result	DOT Short Term (From Q1 2016/17)	Q1 2015/16 Result	DOT Long-Term (From Q2 2015/16)	Benchmarking	Comment where "below target"
PH/C14	Re-presentations - opiate users	Smaller is Better	12.0%	12.0%	23.1% (R)	15.8%	Worsening	12.5%	Worsening	National 18.7% (December 2016, National Adult Quarterly Activity Partnership Report)	The National Drug Treatment Monitoring Service (NDTMS) previously showed decreases in successful treatment completion rates. There has been ongoing, close monitoring by the SMS Commissioner. Recent NDTMS data for July – September 2016 shows an improvement in successful completions across all categories of care.
PH/C15	Re-presentations - non-opiate users	Smaller is Better	8.0%	8.0%	22.2% (R)	22.2%	Worsening	9.1%	Worsening	National 6.1% (December 2016, National Adult Quarterly Activity Partnership Report)	

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	50% (2)	50% (2)	0% (0)	100% (4)	0% (0)	0% (0)

Public Health has 4 risks. 2 (50%) are Medium Low, and 2 (50%) are Medium High. All 4 risks (100%) reduced or maintained the same score from the previous quarter. 1 risk (25%) scored 12 or above, and has been escalated to the Strategic Commissioning Board for review this quarter. This is shown below.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
PH04	Failure to deliver public health outcomes within the reduced annual funding envelope	Planned ongoing reduction in government funding under the 2016 Comprehensive Spending Review could lead to failure to deliver public health outcomes within the reduced annual funding envelope, leading to an inability to fully deliver public health outcomes.	Director of Public Health	Financial	<p>Robust budget monitoring system in place, and monthly finance reports presented at SMT.</p> <p>The service continues to undertake regular monitoring of financial position, however the respective financial challenges across both councils does mean that the grant will be redirected towards wider determinants of health, requiring the cessation of certain projects to ensure that funding can be contained within the financial envelope.</p> <p>The specific public health reserve enables a one-off mitigation, if required, should the in-year position not be able to fully mitigate any grant reduction. For Barnet the use of the specific reserve will be utilised to fund wider determinants of health and therefore any pressures which arise which exceed the grant will need to be met by the council's general fund reserves.</p> <p>Review of longer term financial plans ongoing, including service redesign of sexual health and ongoing re-procurement activity.</p> <p>Awaiting outcome of consultation on business rate retention model, which should confirm future grant position.</p>	4	5	3	4	12	Same	Treat

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	0 (0.0%)	N/A	N/A

Regional Enterprise (Re)

Successes	Challenges
<ul style="list-style-type: none"> The One Stonegrove co-located community centre church has been named runner-up for the National Churches Trust Presidents' Award by The Duke of Gloucester at the 2016 Church Architecture Awards. In addition, the Deed of Variation for the facility has been successfully completed, which means a management agent can now be appointed to manage, run and generate income to keep the building financially sustainable for the wider community. The Private Sector Housing Team, working with HB Public Law, has had more success in court this quarter. In November, two companies (Uptown Properties Ltd and YLR Ltd) and a Company Director of Uptown Properties Ltd were found guilty of failing to apply for a mandatory House in Multiple Occupation (HMO) Licence. A total of £6,193 fines, £2,854 costs and £220 victim surcharge were granted. Hendon Cemetery and Crematorium has achieved accredited status for ISO 9001 and ISO 14001 following a two day visit by the Assessor. ISO 9001 is a certified quality management system (QMS) for organisations who want to prove their ability to consistently provide products and services that meet the needs of their customers and other relevant stakeholders. ISO 14001 is an internationally agreed standard that sets out the requirements for an environmental management system. It helps organisations improve their environmental performance through more efficient use of resources and reduction of waste. 	<ul style="list-style-type: none"> Members and residents have raised concerns that the planning enforcement service is not seen as responding effectively to reported breaches of planning consents. An Enforcement Improvement Plan has been developed (and effective from October 2016) with regular updates to Members. The next Members' Planning Enforcement quarterly report update is scheduled for January 2017 and will provide latest information on planning enforcement activity across the borough and progress on related prosecutions. An exceptionally high volume of authority works permit applications have been responded to by Re's NRWSA/Permit Team with over 3,447 processed in Quarter 3, which has placed pressure on resources in the team to assess all applications within the strict timeframes prescribed. Brent Cross Cricklewood. The working relationship with Network Rail (NR) on Thameslink has been challenging due to the complex nature of the different business units within NR. Issues have been escalated to the Brent Cross Governance Board and DfT. A Station Delivery Board has been set up with NR, Re and the council; and meetings are taking place at a senior level to reinforce the importance of the programme. A one day workshop has been scheduled with NR in January 2017 and NR have formally committed to delivery of the scheme to budget. A number of KPIs in Highways reactive maintenance continue to go unreported for a second consecutive quarter due to challenges obtaining the relevant performance data from the contractor. Whilst reactive repairs for all category type defects continue to be instructed and repaired on the borough's roads, there has been limited data to track performance on turnaround times. Direct discussions to resolve this issue are taking place. Pending resolution, the KPIs will continue to be reported as failed.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	87% (45)	0% (0)	4% (2)	10% (5)	63% (29)	37% (17)

64 indicators are reported in Q3 2016/17. 52 have given a RAG rating: 87% (45) are "on or above target" and 14% (7) are "below target". 48 have been given a Direction of Travel (DOT) status: 65% (31) have an "improved/same" DOT and 35% (17) have a "worsened" DOT from the same period last year. Of the 7 "below target", 1 is Corporate Plan Indicator and can be found in Appendix A:

- KPI 2.1-2.3 Highways defects made safe within agreed timescale.

6 are Service Indicators (in the Assets, Regeneration and Growth Committee Commissioning Plan and/or Re contract) and are set out below.

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
KPI001	Meet building regulation application within statutory timescales	Bigger is Better	96%	96%	95.4% (RA)	97.3%	Worsening	95.8%	Worsening	No benchmark available	
KPI 1.1 NM	Implementation of the Annual programme relating to Highway Safety Inspections	Bigger is Better	100%	100%	Fail (R)	98%	Not comparable due to reporting format	98%	Not comparable due to reporting format	No benchmark available	Performance data for this KPI is not yet available for Q3 and therefore it has been flagged as a fail. The roll-out of mobile working during the quarter has resulted in a combination of paper based and electronic records which has resulted in a delay in reporting as we collate the data.
NM KPI 2.2	Category 1 Defects Rectification Timescales completed on time (48 hours)	Bigger is Better	100%	100%	Fail (R)	100%	Not comparable due to reporting format	98.7%	Not comparable due to reporting format	No benchmark available	These KPIs have been unable to report this quarter due to an on-going issue with the contractor. Direct discussions aimed to resolve this and other contractual issues are taking place between the Authority and the contractor.
KPI 2.3 NM	Number of Highways Category 2 Defects Rectification completed on time	Bigger is Better	100%	100%	Fail (R)	Fail	Not comparable due to reporting format	97%	Not comparable due to reporting format	No benchmark available	
KPI 2.4 NM	Highways Insurance Investigations completed on time	Bigger is Better	100%	100%	99% (RA)	100%	Worsening	98.6%	Worsening	No benchmark available	Meanwhile, Re continues to raise highways repair orders to the

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
KPI 2.8 NM	Construction of Vehicle Crossovers within timescales following receipt of payment	Bigger is Better	100%	100%	Fail (R)	84.9%	Not comparable due to reporting format	88.0%	Not comparable due to reporting format	No benchmark available	contractor and also provides the Authority with a weekly update on instructed works. The Commissioner has written to the contractor requesting an improved service offer, part of which would be improved reporting and a strengthened KPI regime.

Re has not finalised a joint risk register in time for Quarter 3 reporting. This will be developed early in Quarter 4.

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	290 (25.60%)	-26,594 (-29.1%)	N/A

The **revenue** forecast is an increase of £0.290m. This is due to an increased costs from additional work commissioned by the council, offset by the investment in the capital programme for roads reducing the budget for reactive repairs.

The Re delivery unit **capital** programme has decreased by £26.594m. This is due to deletions of £1.152m where various small projects are no longer going ahead and slippage of £25.442m. The slippage is largely due to Brent Cross land acquisitions now not taking place in 2016/17 (£14.351m) and delays to the schedule for the investment in roads and pavements and carriageways resulting in the re-profiling of the budget (£8.932m).

Registrar Service

Successes	Challenges
<ul style="list-style-type: none"> The proposed diary changes from Quarter 2 and managing staff resources have been implemented over the last quarter creating more efficiency in service delivery. This has resulted in a 19% increase of deaths registered within 5 days achieving 90% in December from 71% in November and has been a major achievement for the team. Additionally, families registering deaths and requesting the green form (required for urgent funerals) will be issued with the document and offered a death registration appointment within the legal required time frame within five days of death. Five additional diaries (six appointments per diary) for nationality checking service appointments have been offered, which provided 30 more Barnet residents and their families the opportunity to apply for nationality service and start the process of becoming a British citizen. This working practice will be continued in Quarter 4; especially as European nationals who have obtained permanent residency for a year are now eligible to apply, so there will be a greater need of availability for nationality checking service appointments. Income generation has increased by £18,458 on the previous quarter. The Citizenship income from the Home Office has been closely monitored and £10k of income received in December 2016 has been reconciled. The extra income has been achieved from the extra nationality diaries and private citizenship ceremonies. 	<ul style="list-style-type: none"> Relocation of the Registration and Nationality Service from Burnt Oak Registry Office to Hendon Town Hall. This is scheduled to take place in February 2017. Staff development due to time constraints and the legal framework for registration and nationality that need to be learned and maintained by Registrars in a specialist field. Income generation and innovation. New services are being offered, including European Passport Checking Service for European Permanent Residency in collaboration with the Home Office, as well as increasing the availability of Nationality appointments to maximise income. New fees for marriage ceremonies at Hendon Town Hall will be implemented in February 2017, in conjunction with the relocation of the service to Hendon Town Hall.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	67% (6)	11% (1)	0% (0)	22% (2)	33% (3)	67% (6)

9 indicators are reported in Q3 2016/17. All 9 have been given a RAG rating: 67% (6) are “on or above target” and 33% (3) are “below” target”. All 9 have been given a Direction of Travel (DOT) status: 33% (3) have an “improved/same” DOT and 67% (6) have a “worsened” DOT from the same period last year. Of the 3 “below target”, all are in the Registrar Service contract and are set out below.

Ref	Indicator	Polarity	2016/17 Annual Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (Q3 2015/16)	Benchmarking	Comment where "below target"
R/1	Percentage of births registered within 42 working days of request	Bigger is Better	95%	95%	94% (GA)	91%	Improving	98%	Worsening	No benchmark available	The service is the ninth largest borough for numbers of birth registrations in London. The increased number of births is due to the birthing unit in Enfield Chase farm hospital closing down. The service aim to continue to create additional birth diary days in order to attain the required standard.
R/3	Percentage of deaths registered within 5 working days of request	Bigger is Better	95%	95%	81% (R)	61%	Improving	93%	Worsening	No benchmark available	Extra diaries are being offered on a weekly basis for death registrations. The service will continue to do this in the new quarter and also offer death only appointment diaries staff permitting.
R/4	Percentage of Marriage/Civil Partnership notices appointments offered within 10 working days of request	Bigger is Better	90%	90%	73% (R)	37%	Improving	83%	Worsening	No benchmark available	The service aim to shorten some notice appointments from 1hour to 45 minutes per appointment in order to create more appointment slots for notices per week.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	(0%) 0	75% (3)	25% (1)	0% (0)	100% (4)	0% (0)	0% (0)

The Registrar Service has 4 risks. 3 (75%) are Medium Low and 1 (25%) is Medium High. All 4 risks (100%) reduced or maintained the same score from the previous quarter. No risks scored 12 or above, for escalation to the Strategic Commissioning Board for review this quarter.

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	178 (111.3%)	N/A	N/A

The projected **revenue** overspend of £0.178m within the Registrar Service (Births, Deaths and Marriages) represents 111.3% of the total service budget (£0.160m). Legislative changes since the budget was set have resulted in the demand for ceremonies decreasing significantly. Work is being continued within the service to maximise existing resources and overcome financial constraints.

Street Scene

Successes	Challenges
<ul style="list-style-type: none"> The ADM proposal has been submitted on time and a timely response provided to questions raised. A comprehensive presentation has been given to the Commissioning Group on the offer. Passenger Transport Services have been successfully relocated from the Mill Hill Depot to North London Business Park, and half the Recycling, Waste and Street Cleansing staff and vehicles have been successfully moved to Harrow. Parking provision and site management, including traffic flow, have been reconfigured, at the Mill Hill Depot to facilitate the release of the main parking forecourt to the Inglis Consortium. 	<ul style="list-style-type: none"> Management activities have been put in place to ensure a smooth transfer of services from the Mill Hill Depot. Budget monitoring briefing sessions and various action plans are in place to deliver the MTFS full year savings targets for 2017/18. Regular communications are taking place with staff to maintain morale during this period of uncertainty, including waiting for the outcome of the ADM submission.

Service Performance	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened
	55% (6)	36% (4)	9% (1)	0% (0)	70% (7)	30% (3)

13 indicators are reported in Q3 2016/17. 11 have been given a RAG rating: 55% (6) are “on or above target” and 45% (5) are “below target”. 10 have been given a Direction of Travel (DOT) status: 70% (7) have an “improved/same” DOT and 30% (3) have a “worsened” DOT from the same period last year. Of the 5 “below target”, 3 are Corporate Plan Indicator and can be found in Appendix A:

- SS/S3 Percentage of household waste sent for reuse, recycling and composting.
- SS/S4 Percentage of residents who are satisfied with refuse and recycling services.
- SS/S6 Percentage of residents who are satisfied with street cleaning.

2 are Service Indicators (in the Environment Committee Commissioning Plan and/or Street Scene Management Agreement) and are set out below.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
SS/C1	Waste tonnage – residual per household	Smaller is Better	590.85kg per HH	154.41 (Q2 2016/17)	159.90 (Q2 2016/17) (GA)	165.57 (Q1 2016/17)	Improving	164.60 (Q2 2015/16)	Improving	Rank 24 (out of 31 London Boroughs) (December 2016, LAPS)	Barnet's performance will be ranked 24 th out of the 33 London Boroughs. Current residual waste bin capacity at houses remains high, with standard capacity being 240 litres per week, and a number of properties having in excess of this capacity. An assessment will be carried out of unregulated waste, which should not be counted as household waste.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
SS/C2	Waste tonnage – recycling per household	Bigger is Better	427.97kg per HH	111.44 (Q2 2016/17)	106.16 (Q2 2016/17) (GA)	107.77 (Q1 2016/17)	Worsening	101.10 (Q2 2015/16)	Improving	No benchmark available	The dry recycling contamination rate has increased from 5.81% in Q2 2015/16 to 7.49% in Q2 2016/17 reflecting increased sampling and monitoring at the Materials Recovery Facility. However a contamination plan is in place and there has been an improvement in contamination figures between Q2 2016/17 and Q1 2016/17. There are a number of factors affecting the amount of material available for recycling including the light weighting of packaging such as glass, plastics and cans, and a decline in paper as consumers use more digital media. To encourage greater food recycling a new food waste campaign will commence in 2017.

Service Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	20% (2)	10% (1)	70% (7)	0% (0)	70% (7)	0% (0)	30% (3)

Street Scene has 10 risks. 2 (20%) are Low, 1 (10%) is Medium Low, and 7 (70%) are Medium High. 7 risks (70%) reduced or maintained the same score from the previous quarter, and 3 (30%) are new risks. 2 risks (20%) scored 12 or above, and have been escalated to the Strategic Commissioning Board for review this quarter. These are shown below.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
SS001	Depot relocation: accommodation for all Street Scene services	Risk to Street Scene Delivery Unit that have to move out of MHD and no suitable accommodation has been secured (including planning permission, construction of buildings and licenses granted) for immediate operational use for all services that are provided by Street Scene. Consequently not all services could be provided immediately.	Street Scene Transformation Director	Business continuity	Street Scene has representation on the Board to positively contribute, highlight issues and assist in mitigating delays wherever possible Plan application has been submitted for Copthall Works started at Oakleigh Road South for Tractors	4	3	4	3	12	Same	Treat
SS010	Operation from multiple satellite bases	Following the relocation from MHD to multiple sites there are operational implications such as the need to be sufficiently resourced to ensure compliance with the Operator's license. This means additional costs associated with fleet maintenance, however these costs are currently unknown, and the budget for these has not been identified.	Street Scene Director	Business continuity	Have arranged workshop cover in short term with Fraikins, whilst assess impact	3	4	3	4	12	New	Treat

Finance	Revenue Budget Variance (000s)	Capital Budget Variance (000s) and Slippage (%)	Savings achieved (000s)
	-61 (-0.5%)	-629 (-24.8%)	910 (94.8%)

The **revenue** forecast is £0.061m below the current budget. This relates to an anticipated underspend of £0.276m within Trade Waste due to increased income and tight controls on expenditure on supplies. The underspend overall has been reduced by overspends on transport as a result of the depot relocation to Harrow and other sites, and the resulting new mobile maintenance plan required for the vehicles, and staffing costs .

The **capital** forecast shows slippage of £0.629m as a result of delays in the purchase of vehicles.

Your Choice Barnet (YCB)

Successes	Challenges
<ul style="list-style-type: none"> Your Choice (Barnet) has successfully set-up Your Choice Enablement Service, providing short-term support packages for people to regain the skills and confidence they need to live independently. The service provides between 1 and 4 visits per day to people in their own home for a period of up to six weeks Your Choice (Barnet) sickness levels have further reduced and are down to 10 days in Quarter 3 which is now Green; this has been steadily reducing throughout the year from 13.2 days in Quarter 1 and 11.5 days in Quarter 2. The number of referrals from Barnet Council and self-referrals from people using direct payments continues to rise and is currently at 58 meaning that the collective target for the full year (40) has already been exceeded. 	<ul style="list-style-type: none"> The use of agency staff has risen from 11.1% in Quarter 2 to 12.7% in Quarter 3. Agency usage continues to be monitored closely and services are actively recruiting in order to cover unplanned absences with contracted staff. The Accident and Incident rate has remained as Red in Quarter 3. This figure historically fluctuates due to the vulnerability of service users; and a robust reporting of all incidents. The number of new referrals from other local authorities is Red in Quarter 3. YCB will continue to work closely with neighbouring authorities and actively market its services.

Service Performance	Green	Amber		Red	Improved/Same	Worsened
	80% (16)	10% (2)	0% (0)	10% (2)	76% (19)	24% (6)

27 indicators are reported in Q3 2016/17. 20 have been given a RAG rating: 80% (16) are “on or above target” and 20% (4) are “below target”. 25 have been given a Direction of Travel (DOT) status: 76% (19) have an “improved/same” DOT and 24% (6) have a “worsened” DOT as per the percentage of the target variance. Of the 4 “below target”, all are in the YCB contract and are set out below.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short-Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
YCB11	Agency staff	Smaller is Better	n/a	Green: 10% or below Green: 10.1% to 14.9% Red Amber: 15% to 19.9%, Red 20% or above	12.7% (GA)	11.1%	Worsening	13.7%	Improving	No benchmark available	Agency staff up from 11.1% from Q2 to 12.7% in Q3, and the services are actively recruiting in order to cover unplanned absences with contracted staff
YCB12	Accident Incident Rate	Smaller is Better	n/a	Green: below 5,000 Red: ≥ 5,000	6,400 (AIR only) (R)	6,000 (AIR only)	Worsening	3,200	Worsening	No benchmark available	The Accident and Incident rate has remained as Red in Q3. This figure historically fluctuates, due to the vulnerability of the YCB service users. The services ensure robust reporting of all incidents.
YCB19	New referrals from other local authorities.	Bigger is Better	20	Green: 5 or more Green Amber: 3 or 4 Red Amber: 2 Red: less than 2	6 (R)	5	Improving	7	Worsening	No benchmark available	The number of referrals from other local authorities is now Red as the cumulative total to date is 6 against a target of 20.

Ref	Indicator	Polarity	Annual 2016/17 Target	Q3 2016/17 Target	Q3 2016/17 Result	Q2 2016/17 Result	DOT Short-Term (From Q2 2016/17)	Q3 2015/16 Result	DOT Long Term (From Q3 2015/16)	Benchmarking	Comment where "below target"
YCB23	Service utilisation Valley Way	Bigger is Better	90%	Green: 90% or higher Green Amber: 85%-89% Red Amber: 81%-84% Red: 80% or lower	Overall 89% Monday-Thursday 86% Friday-Sunday 92% (GA)	Overall: 89% Mon-Thu 87% Fri-Sun 92%	Worsening	93% Mon-Thu 93% Fri-Sun 94%	Worsening	No benchmark available	Valley Way Utilisation (PI 23) has remained at 89% overall against a target of 90% and is rated as Green Amber. A number of people who use the service have now moved into supported living settings service. The service is marketing to other local authorities and to people who have personal budgets

YCB risks are contained within the risk register for Barnet Homes above.

Programmes

The below table illustrates how the council is performing against all projects within the following six portfolios; Central, Adults and Health, Children's and Young People, Growth & Development, Environment and the Schools Capital programme.

Portfolio	Green Status	Amber Status	Red Status	Not yet started	Comments
Central Portfolio	6	3	0	0	<p>The Central Portfolio is delivering well overall and there have been a number of activities taking place on key projects. For The Way We Work Programme, a ground breaking ceremony took place at the new council office location on 5 December 2016, and the ground and first floor internal office layouts have been drafted and approved. A review has taken place into what can be done to assist staff in travelling to and from the Colindale offices and travelling for business purposes, informed by focus groups, a staff survey and best practice research.</p> <p>Unified Reward has been implemented for council staff to ensure a better overall package across the organisation and the first Unified Reward pay run to c.1,460 council staff was made with a zero error rate. The Community Participation Strategy project has moved from amber to green and the Barnet Community Directory has now 'gone live' to bring together information about voluntary and community groups in Barnet to offer guidance and advice to residents.</p> <p>The business case for the Customer Transformation Programme has been approved and phase 1 has started to deliver new and improved online digital transactions to residents, as well as replicating some existing functions, in order to improve residents' experience and encourage greater use of the website for customer transactions.</p>
Adults and Health Portfolio	13	4	0	0	<p>There are more projects being reported as part of the Adults and Health Portfolio than last quarter because more detailed reporting arrangements have been introduced for this portfolio.</p> <p>Some of the key elements of delivery over the last quarter have included a new contract with Your Choice Barnet which is now in place and will increase support to people with learning disabilities, including autism, to move towards more independent living and to participate in the workplace as well as saving £1.2m over the MTFS period.</p> <p>The Investing in IT project has moved from red to amber and considerable progress was made during December 2016. A clear plan to deliver training is being developed and system testing is nearing its start. The General Functions Committee approved recommendations to implement changes to the workforce and structure in the Adults and Communities Mental Health service, in order to reflect an enablement and social care model of mental health support.</p> <p>Demolition commenced for the Moreton Close Extra Care scheme and an event marking the start on site took place on 23 November 2016.</p>

Portfolio	Green Status	Amber Status	Red Status	Not yet started	Comments
Children and Young People Portfolio	8	4	0	0	<p>Progress has been made across the Children and Young People Portfolio and a number of projects are progressing. The Libraries Strategy is in the implementation phase with a number of key activities delivered; preferred Partnership Organisations have been selected and announced: Kisharon in partnership with Mencap is set to operate Childs Hill Library; Inclusion Barnet is to operate East Barnet and South Friern Libraries; and Mill Hill Library will be operated by NW7 Hub.</p> <p>The concept phase of the Resilient Futures project has now been completed and the project is now moving into the implementation phase with a clear delivery plan in place.</p> <p>The Youth Zone project is progressing well and an engagement day with councillors and the public took place on 15 December 2016. Next steps for this project include sign off of the lease arrangements by Assets, Regeneration and Growth Committee.</p> <p>The Outline Business Case for the replacement and relocation of Meadow Close Children's Home was approved at Assets, Regeneration and Growth Committee on 12 December 2016. This project will now progress towards Planning Committee.</p>
Environment Portfolio	4	6	0	0	<p>A number of key milestones have been met in the Environment Portfolio this quarter particularly in relation to Depot Moves; Passenger Transport Services and Barnet Community Transport Service have been successfully relocated to North London Business Park, and part of the Highways (winter gritting and DLO) Service has been successfully relocated to Harrow.</p> <p>For the Street Scene ADM project, the initial Outline Business Case was approved by Full Council on 1 November. Following approval, employee and public consultation took place from 9 November 2016 to 15 January 2017 and the outcome of the consultation will be used to inform the revised Outline Business Case which will be submitted to Environment Committee in March 2017. The Enforcement Trial has also progressed, with an update on progress submitted to Environment Committee on 8 November 2016, where a new fixed penalty notice (FPN) rate for fly tipping was agreed at £400 (£300 if paid within 10 days). It was also noted at Committee that body-worn cameras (BWCs) were shortly to be introduced to the trial – the BWCs were introduced at the end of November 2016. For the Moving Traffic Contraventions (MTCs) project, fifty sites are now live and twenty further sites are due to go live in the next few months. The project seeks to improve safety and is proving a success, particularly outside of schools where compliance has been steadily improving.</p>

Portfolio	Green Status	Amber Status	Red Status	Not yet started	Comments
Growth and Development Portfolio	13	1	2	0	<p>A number of completions have been delivered as part of the Growth and Development Portfolio; in Regeneration, 210 homes have been completed at Millbrook Park and the handover of St Peter's Church and vicarage has taken place on Stonegrove, concluding the very final parcel of land transfer on this scheme.</p> <p>Work has commenced on site for an extra care scheme for older people and early feasibility work is underway on other sites as part of the Tranche 2 of the development pipeline.</p> <p>The RAG status remains red for Tranche 1 of development pipeline. A 6 week review of sites was undertaken in quarter 3 to inform the preferred way forward for the scheme. The Phase 2 Moxon Street planning application was approved at Committee on 19 October 2016.</p> <p>For Tranche 3 (HRA Infill) the full business case was approved by Assets, Regeneration and Growth Committee on 12 December 2016 and agreement was given to substitute the Church End site from the project.</p> <p>Grahame Park, Plot 5 has completed ahead of time delivering 60 new homes that include 25 social rent, 12 shared ownership and 23 private homes. Grahame Park is RAG rated red overall and should improve through 2017 as certainty over the vision and viability of stage B becomes clearer.</p> <p>In relation to Entrepreneurial Barnet, the Burnt Oak Town Centre consultation closed on 23 December 2016.</p> <p>Re have exceeded their annual target for apprentices employed on regeneration activities, with 45 apprentices that started on site in December 2016.</p>
Education Capital Programme	16	8	0	0	<p>Progress continues to be made across a number of projects and overall the Education Capital Programme is on target to achieve pupil places when required.</p> <p>Works are underway to expand Monkfrith primary and St Mary's and St Johns all-through school.</p> <p>In relation to works to support the delivery of Free Early Education (FEE2) works have started onsite at Dollis Infant School and the construction phase has completed at Moss Hall Nursery.</p>

Key to Indicator RAG ratings:

RAG rating	% of targeted improvement achieved		Description
Green	100% or more	Target is met or exceeded	Meeting target
Green Amber	>80% <100%	Target not met, but 80% or more of targeted improvement achieved	Near target with some concerns
Red Amber	>65% <80%	Target not met, but 65-80% of targeted improvement achieved	Problematic
Red	<65%	Target not met, and less than 65% of targeted improvement achieved	Serious concerns
In addition, any indicator that is less than 10% off target and has a positive Direction of Travel will be amber-rated. Both of the following criteria need to be met if a service is to have a Red-rated performance indicator amended to either Green Amber or Red Amber:			
Amendment to Green Amber:		Amendment to Red Amber:	
1. No more than 5% off target; and 2. A positive Direction of Travel		1. Between >5% and no more than 10% off target; and 2. Positive Direction of Travel or negative Direction of Travel not in excess of 2.5% (if improvement plan in place)	
NB. For indicators with known margin of error e.g. Residents' Perception Survey, any Red rated indicator within the margin of error will be uprated to Red amber.			

Key to Risk RAG ratings:

IMPACT	Score:		LIKELIHOOD				
			1	2	3	4	5
	Rare	Unlikely	Possible	Likely	Almost Certain		
5	Catastrophic	Moderate	Medium / High	High	High	High	
4	Major	Moderate	Medium / High	Medium / High	High	High	
3	Moderate	Low	Moderate	Medium / High	Medium / High	High	
2	Minor	Low	Moderate	Moderate	Medium / High	Medium / High	
1	Negligible	Low	Low	Low	Moderate	Moderate	

Key to Finance RAG ratings:

	Green	Green Amber	Red Amber	Red
	Good performance	Good, with some concerns	Some concerns	Serious concerns
Revenue and capital budget management - variance % (above and below)	0%	< 0.5%	0.5 - 1%	More than 1%
Corporate Plan and HR performance scores	More than 2	0.5 to 2	-1 to 0.	Less than -1

Note: This methodology is different from what was applied in previous quarters.

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Appendix C - Revenue Monitoring

Adults and Communities

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Performance & Improvement	992	1,412	1,388	(24)		-1.7%
Safeguarding	604	674	1,116	441	Deprivation of Liberty Safeguards (DOLS) service continues to have significant pressures in 2016/17, as a result of Supreme Court judgements in 2014/15 and a loss of grant funding since 2015/16.	65.4%
Care Quality	4,736	4,438	4,354	(84)	Contract underspends within Housing related support	-1.9%
Community Well-being	733	538	0	(537)	The non-placements budget areas continue to be closely monitored and managed as savings reduced some of these areas significantly in 2016/17. These areas are projecting an underspend position which is offsetting placements pressures at this point.	-99.9%
Customer Care	334	254	226	(28)		-10.9%
Customer Finance	719	842	820	(22)		-2.6%
Dir Adult Soc Serv & Health	186	795	180	(616)	The non-placements budget areas continue to be closely monitored and managed as savings reduced some of these areas significantly in 2016/17. These areas are projecting an underspend position which is offsetting placements pressures at this point.	-77.4%
Integrated care - LD & MH	40,587	39,842	43,836	3,994	The care budgets within Adults have seen significant overspends since 2014/15 as a result of rising demand for services and increasing complexity in relation to those supported. The main pressure for learning disabilities also continues to be in relation to clients complex needs increasing and individuals transitioning from children's services into adult services. There are further pressures on the LD budget resulting from Ordinary Residents clients transitioning into Barnet.	10.0%
Integrated care - OP & DP	35,609	38,876	41,841	2,965	The care budgets within Adults have seen significant overspends since 2014/15 as a result of rising demand for services and increasing complexity in relation to those supported. In 2016/17, demand continues to grow for older adults placements with a particular growth in clients with dementia requiring complex packages of care.	7.6%
Prevention & Well Being	653	561	553	(8)		-1.5%
Social Care Management	412	736	709	(27)		-3.7%
Total	85,566	88,968	95,022	6,054		6.8%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	77
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	64
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

Assurance

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Elections	348	357	357	1		0.2%
Assurance Management	565	579	579	-		0.0%
Governance	2,144	2,165	2,162	(3)		-0.1%
Internal Audit & CAFT	736	754	755	1		0.1%
Total	3,793	3,855	3,854	(1)		0.0%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	0
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	0
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

Registrars Service

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Births Deaths & Marriages	(160)	(160)	18	177		111.0%
Total	(160)	(160)	18	177		111.0%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

Central Expenses

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Capital Financing	19,260	17,280	17,280	-		0.0%
Car Leasing	2	-	-	-		0.0%
Central Contingency	7,877	2,129	1,860	(269)	Contingency yet to be allocated	-12.6%
Corporate Fees & Charges	264	264	202	(62)	Underspend on Audit Fees	-23.4%
Corporate Subscriptions	314	314	149	(166)	Underspend on subscriptions	-52.7%
Early Retirement	3,577	3,577	3,577	-		0.0%
Local Area Agreement	105	105	105	-		0.0%
Levies	19,242	19,242	19,242	-		0.0%
Miscellaneous Finance	740	742	742	-		0.0%
Total	51,381	43,654	43,157	(496)		-1.1%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	0
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	1
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

Commissioning Group

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Finance & Resources	740	959	452	(507)		-52.9%
Commercial	1,049	902	975	73	Overspend on the out of hours, agency staff and running costs	8.1%
Adults and Health	1,258	1,284	1,303	19	Overspend on the GLL contract offset by savings on vacant posts	1.5%
Communications	674	639	813	174	Expenditure on surveys and other communications such as Citizen's Panel and Engage Barnet	27.3%
Commissioning Strategy	441	505	612	107	Base Budget shortfall on staffing costs	21.1%
Children & Young people	443	561	635	74	Overspend on staffing	13.2%
Environment	12,049	12,843	12,855	12		0.1%
Growth & Development	175	195	215	20	Overspend is due to increased staffing costs	10.3%
Information Management	880	921	975	54	Overspend due to backfilling of staff on secondment	5.9%
Programme & Resources	810	817	791	(25)		-3.1%
Strategic Commissioning Board	768	560	560	-		0.0%
TP-Adults	-	-	-	-		0.0%
TP-Child's Family Services	-	-	-	-		0.0%
Total	19,288	20,186	20,186	0		0.0%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	11
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- b) cost centres over £50,000 where the cost centre's gross budget is less than £1m
- c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.

Customer Support Group

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
CSG Managed Budget	4,118	1,195	1,695	500	Additional security costs and reduced income	41.8%
CSG Management Fee	18,002	20,895	20,895	-		0.0%
Total	22,120	22,090	22,590	500		2.3%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

- a) cost centres over £100,000
- b) cost centres over £50,000 where the cost centre's gross budget is less than £1m
- c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.

Education and Skills

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Education & Skills Management	6,940	7,082	7,157	75	Additional expenditure in relation to support service charges	1.1%
Edu Partnership & Commercial	-	-	-	-		0.0%
Post 16 Education & Skills	-	-	-	-		0.0%
School Improvement	-	-	-	-		0.0%
SEND & Inclusion	-	-	-	-		0.0%
Total (excluding SDM)	6,940	7,082	7,157	75		1.1%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

- a) cost centres over £100,000
- b) cost centres over £50,000 where the cost centre's gross budget is less than £1m
- c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.

Family Services

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Family Services Management	1,100	666	182	(484)	Early achievement of MTFS savings against inflation and growth, used to offset against demand pressures.	-72.7%
Social Care Management	1,175	1,744	1451	(293)	£500k agency staff budget held here.	-16.8%
CSC 0-25	2,212	2,267	2654	387	The overspend is due to an increase in the cost of current placements, costs transferred from Children Looked After or Special Educational Needs and young people moving out of home into supported living as they become more independent.	17.1%
Intake and Assessment	2,532	3,068	3403	335	Overspend due to the use of agency staff as the Barnet Group contract is being embedded.	10.9%
Intervention and Planning	2,585	3,265	4148	883	Overspend due to the use of agency staff whilst the Barnet Group contract is being embedded and on section 17.	27.1%
Permanence Trns & CorParenting	3,184	3,430	3981	551	Overspend due to the use of agency staff whilst the Barnet Group contract is being embedded. There is also overspend on Unaccompanied Asylum Seekers (UASCs) - the total grant received does not cover full costs.	16.1%
Placements	17,468	17,729	17749	20	There has been a significant increase in the number of Looked after Children since the beginning of April. There is particular increase in the number of high risk, complex cases and in Remand. This has been offset by early achievement of MTFS savings relating to contributions from Health.	0.1%
Safeguarding & Quality	1,787	2,125	2109	(16)		-0.8%
Commissioning & Business Imp.	3,025	3,698	3327	(371)	Underspend from early achievement of MTFS savings.	-10.0%
Early Years	2,765	3,841	3894	53	Some part year vacancies, offset by shortfall in childcare income.	1.4%
Libraries & Comm.Engagemnt	5,426	5,649	5683	34		0.6%
Youth & Family Support	3,223	3,562	3451	(110)	Part-year vacancies due to delay in recruitment.	-3.1%
Total	46,481	51,044	52,032	988		1.8%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

- a) cost centres over £100,000
- b) cost centres over £50,000 where the cost centre's gross budget is less than £1m
- c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.

HB Public Law

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
HB Law	2,011	2,011	2,068	57		2.8%
Total	2,011	2,011	2,068	57		2.8%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

- a) cost centres over £100,000
- b) cost centres over £50,000 where the cost centre's gross budget is less than £1m
- c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.

Housing Needs Resources

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Housing Needs Resources	4,976	5,560	5,738	178	The overspend has been driven by a sustained demand for temporary accommodation and high rental prices exceeding government payments received by the council.	3.2%
Total	4,976	5,560	5,738	178		3.2%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

- a) cost centres over £100,000
- b) cost centres over £50,000 where the cost centre's gross budget is less than £1m
- c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.

Parking and Infrastructure

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Highway Inspection/Maintenance	354	400	408	8	A small overspend expected due to limited income opportunities for the sign shop.	2.1%
Parking	(458)	(538)	(545)	(8)	Off street car parks are to budget, the small underspend is due to a saving on abandoned vehicles contract payments.	-1.4%
Special Parking Account	(8,052)	(8,032)	(8,032)	0	The SPA is due to exceed its budgeted contribution due to a combination of increases in moving traffic camera income, on street income, residents permits income, and PCN income from on street enforcement. There have also been contract payment savings.	0.0%
Street Lighting	6,224	6,223	6,166	(57)	A saving is expected due to carbon emissions.	-0.9%
Total	(1,933)	(1,947)	(2,004)	(56)		-2.9%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

- a) cost centres over £100,000
- b) cost centres over £50,000 where the cost centre's gross budget is less than £1m
- c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Public Health	18,544	18,055	18,055	-		0.0%
Total	18,544	18,055	18,055	-		0.0%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	0
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	0
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

Regional Enterprise

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
RE Management Fee	77	(11)	499	510	The management fee is expected to be overspent due to a number of payments for additional work that Re have undertaken on behalf of the council.	4679.5%
Re Managed Budgets	1,057	1,145	926	(219)	A number of savings have been achieved in the highways work budgets due to the capital investment programme leading to a reduced need for reactive repairs.	-19.2%
Total	1,134	1,134	1,424	290		25.6%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	2
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	0
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

Streetscene

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Business Improvement	264	334	299	(35)	Savings are expected due to staff secondment.	-10.4%
Green Spaces	4,330	4,343	4,380	37	A small overspend due to a delayed saving related to bowling greens.	0.9%
Mortuary	99	99	99	-		0.0%
Waste & Recycling	7,281	6,294	6,349	55	There is a need to employ agency staff to ensure service continuity, which has led to an overspend within the service.	0.9%
Street Cleansing	3,527	3,580	3,557	(23)	Savings on the weed spray contract have helped to control and offset staffing costs in the street cleansing unit.	-0.6%
Street Scene Management	652	592	653	61	A one off overspend is expected due to costs incurred as a result of a change in senior management at the start of the year.	10.3%
Trade Waste	(1,930)	(1,751)	(2,027)	(276)	Trade waste has exceeded its expected income target, and also achieved a saving on its supplies purchases.	-15.7%
Transport	(328)	(45)	75	119	The increased costs are the result of the depot relocation to Harrow and other sites, and the resulting new mobile maintenance plan required for the vehicles.	-267.6%
Total	13,896	13,447	13,386	(61)		-0.5%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	0
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	1
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

Dedicated Schools' Grant

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Education DSG	(6,622)	(13,446)	(13,464)	(19)		-0.1%
Schools Funding	342	211	211	-		-100.0%
Childrens Social Care DSG	153	403	403	-		0.0%
Early Intervn & Preven DSG	6,128	12,832	12,851	19		0.1%
Total	-	-	-	-		0.0%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	34
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	23
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

Housing Revenue Account

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
HRA Other Income & Expenditure	(2,167)	(1,758)	(3,047)	(1,289)	Increased rental and service charge income has resulted due to the building of 40 new units, and a slower than expected removal of units through the regeneration programme.	-73.3%
HRA Regeneration	1,068	659	817	158	There are a number of regeneration related staff costs within the HRA that cannot be fully recovered from developers.	23.9%
HRA Surplus/Deficit for the ye	1,246	1,246	1,246	-		0.0%
Interest on Balances	(147)	(147)	(147)	-		0.0%
Total	-	-	(1,131)	(1,131)		-100.0%

Within the revenue monitoring above, the number of cost centres that are projecting net overspends or underspends are:

a) cost centres over £100,000	1
b) cost centres over £50,000 where the cost centre's gross budget is less than £1m	0
c) Actions proposed to ensure that these overspends or underspends are not realised are reflected in the commentary above.	

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Appendix D (i) - Capital Forecast Q3 2016/17

	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Adults and Communities	1,039	341	-	1,380	908	1,380	341	0.0%	Budget transfer from the IT Strategy project in Commissioning
Adults and Communities	1,039	341	-	1,380	908	1,380	341	0.0%	
	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Commissioning Group	33,237	(341)	(16,076)	16,820	9,619	16,820	(16,417)	-48.4%	A longer procurement phase for the Depot relocation and Community centre and a longer design phase for the Sports and Physical activity projects have resulted in the projects slipping into 2017/18
Commissioning Group	33,237	(341)	(16,076)	16,820	9,619	16,820	(16,417)	-48.4%	
	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Modernisation Primary & Secondary	5,750	7	(345)	5,412	1,469	5,412	(338)	-6.0%	Building works for two primary schools have been delayed until the school summer holidays.
Urgent Primary Places	-	-	-	-	-	-	-	-	-
Temporary Expansions - Allocated	982	750	-	1,732	828	1,732	750	0.0%	A new scheme for bulge classes has been started for Underhill School
Millbrook Park (MHE)	336	-	-	336	197	336	-	0.0%	-
Orion Primary	213	-	-	213	-	213	-	0.0%	-
Blessed Dominic/St James	1,636	-	(236)	1,400	550	1,400	(236)	-14.4%	-
Moss hall	6	(6)	-	-	-	-	(6)	0.0%	-
Brunswick	8	(5)	-	3	2	3	(5)	0.0%	-
Menorah Foundation	445	-	-	445	152	445	-	0.0%	-
St Mary's and St Johns	920	-	(38)	882	1,037	882	(38)	-4.1%	-
Martin Primary	62	(30)	-	32	23	32	(30)	0.0%	-
Oakleigh School	27	-	-	27	-	27	-	0.0%	-
Beis Yakov	18	-	-	18	-	18	-	0.0%	-
St Joseph's RC Junior & St Joseph's RC Infants Sch	91	-	-	91	1	91	-	0.0%	-
Monkfrith	4,280	-	(63)	4,217	3,550	4,217	(63)	-1.5%	-
Wren Academy	1,660	-	(146)	1,514	1,369	1,514	(146)	-8.8%	-
London Academy	4,620	-	-	4,620	4,394	4,620	-	0.0%	-
Oak Hill Campus	-	-	-	-	-	-	-	0.0%	-
Childs Hill	-	109	-	109	109	109	109	0.0%	New programme
ST Anghes School expansion	-	23	-	23	23	23	23	0.0%	New programme
East Barnet Schools Rebuild	560	(56)	-	504	215	504	(56)	0.0%	-
Permanent Secondary Expansion Programme	12,607	-	1,076	13,683	6,641	13,683	1,076	8.5%	Re-profile of the construction phase for St Mary and St Johns
Primary Programme	9,755	(648)	(8,000)	1,107	-	1,107	(8,648)	-82.0%	Funds to be allocated in future years
Secondary Programme	68	56	-	124	-	124	56	0.0%	-
SEN	7,693	-	(6,000)	1,693	-	1,693	(6,000)	-78.0%	Funds to be allocated in future years
Alternative Provision	8,000	-	(7,684)	316	220	316	(7,684)	-96.1%	Works are planned to start in 2017/18
Other Schemes	11,652	(200)	(9,940)	1,512	156	1,512	(10,140)	-85.3%	Funds to be allocated in future years
Education and Skills	71,389	-	(31,376)	40,013	20,935	40,013	(31,376)	-44.0%	
	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Family Services	9,662	-	(4,139)	5,523	608	5,523	(4,139)	-42.8%	Library works have started but will now not complete until 2017/18. Residential and Fostering expansions will not take place in this financial year.
Family Services	9,662	-	(4,139)	5,523	608	5,523	(4,139)	-42.8%	
	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Housing Needs Resources	13,983	(5,056)	(57)	8,870	1,473	8,870	(5,113)	-0.4%	The variance from the approved budget is largely due to the removal of budget of £5.056m for development pipeline which, in the proposed current budget being submitted to P&R in February, will form part of a consolidated budget for support to Open Door homes.
Housing Needs Resources	13,983	(5,056)	(57)	8,870	1,473	8,870	(5,113)	-0.4%	
	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Parking and Infrastructure	1,457	-	(261)	1,196	756	1,196	(261)	-17.9%	Delays to lines and signs work and Town centre bays the budget for which has been moved to 2017/18 so the whole scheme can be completed at the same time
Parking and Infrastructure	1,457	-	(261)	1,196	756	1,196	(261)	-17.9%	
	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Highways TIL	5,908	(360)	-	5,548	(90)	5,548	(360)	0.0%	-
Highways non-TIL	22,295	(522)	(8,932)	12,841	6,362	12,841	(9,454)	-40.1%	Delays to the schedule for the investment in roads and pavements and carriageways has resulted in the reprofiling of the budget.
Parking	214	(60)	(155)	-	1	-	#VALUE!	-72.4%	Reprofiled budget
General Fund Regeneration	39,306	-	(14,351)	24,955	5,006	24,955	(14,351)	-36.5%	Brent Cross land acquisitions now not planned in 16/17
Disabled Facilities Project	3,653	-	(1,153)	2,500	1,449	2,500	(1,153)	-31.6%	Staff appointments have taken longer than expected resulting in works slipping into 17/18
Other Projects	16,091	(210)	(851)	15,030	4,359	15,030	(1,061)	-5.3%	The social mobility project has been deleted and slippage on the Office build project
Regional Enterprise	87,467	(1,152)	(25,442)	60,874	17,088	60,874	(26,593)	-29.1%	
	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Greenspaces	261	-	-	261	4	261	-	0.0%	-
Waste	2,275	-	(629)	1,646	430	1,646	(629)	-27.6%	Vehicle purchases have been delayed and will now take place in 2017/18
Fuel storage	-	-	-	-	-	-	-	0.0%	-
Street Scene	2,536	-	(629)	1,907	434	1,907	(629)	-24.8%	
General Fund Programme	220,770	(6,208)	(77,980)	136,582	51,820	136,582	(84,188)	-35.3%	
	2016-17 Approved Budget	Additions/ Deletions Recommended	Slippage / Accelerated Spend Recommended	Proposed 2016/17 Budget	Spend to date	2016-17 Forecast to year-end	Variance from Approved Budget	% slippage of 2016/17	Comments
	£000	£000	£000	£000	£000	£000	£000	%	
Housing Revenue Account	39,790	313	(885)	39,218	28,203	39,218	(572)	-2.2%	The procurement phase has taken longer than expected resulting in the Moreton Close project slipping into 2017/18. Additional funds required for now affordable homes as a result of higher than anticipated Section 278 costs and management fees.
Housing Revenue Account	39,790	313	(885)	39,218	28,203	39,218	(572)	-2.2%	
Total Capital Programme	260,560	(5,895)	(78,865)	175,800	80,023	175,800	(84,760)	-30.3%	

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Appendix D (ii) - Capital Funding Adjustments

Directorate	Year	Capital Programme	Funding Type	Additions/ Deletions	Slippage/Accel erated Spend	Explanation for request
				£'000	£'000	
Adults and Communities	2016/17	Investing in IT	Capital Receipts	341		Budget movement from Commissioning
Commissioning Group	2016/17	Investing in IT	Capital Receipts	(341)	341	Budget movement to Adults
Commissioning Group	2016/17	Depot relocation	Capital Receipts		(8,000)	Construction will not complete until August 2017
Education and Skills	2016/17	Modernisation Primary & Secondary	Grants	1		Budget movement from the Primary programme
Education and Skills	2016/17	Modernisation Primary & Secondary	Borrowing	6		Budget movement from the Primary programme
Education and Skills	2016/17	Modernisation Primary & Secondary	Borrowing		(345)	Construction will not start until summer 2017
Education and Skills	2016/17	Temporary Expansions - Allocated	Grants	750		Budget movement from the Primary programme
Education and Skills	2016/17	Blessed Dominic/St James	Borrowing		(236)	Final works will not complete until Summer 2017
Education and Skills	2016/17	Moss hall	Borrowing	(6)		Budget movement to the Primary programme
Education and Skills	2016/17	Brunswick	Borrowing	(5)		Budget movement to the Primary programme
Education and Skills	2016/17	St Mary's and St Johns	Borrowing		(38)	Retention not due until 17/18
Education and Skills	2016/17	Martin Primary	Borrowing	(30)		Budget movement to the Primary programme
Education and Skills	2016/17	Child hill school	Grants	109		Budget movement from the Primary programme
Education and Skills	2016/17	ST Angnes School expansion	Grants	23		Budget movement from the Primary programme
Education and Skills	2016/17	Monkfrith	Borrowing		(63)	Retention not due until 17/18
Education and Skills	2016/17	Wren Academy	Borrowing		(146)	Retention not due until 17/18
Education and Skills	2016/17	East Barnet & Project Faraday	Borrowing	(56)		Budget movement to the Secondary programme
Education and Skills	2016/17	Copthall	Grants		(137)	Final works will not complete until Summer 2017
Education and Skills	2016/17	Compton	Grants		(20)	Final works will not complete until Summer 2017
Education and Skills	2016/17	St Mary's & St John's	Grants		1,232	Construction costs originally expected to be completed in 17/18
Education and Skills	2016/17	Primary Programme	Borrowing	200		Budget movement from Whittings Hill
Education and Skills	2016/17	Primary Programme	Grants	(1)		Budget movement from Modernisation
Education and Skills	2016/17	Primary Programme	Borrowing	30		Budget movement to Martin Primary
Education and Skills	2016/17	Primary Programme	Grants	(750)		Budget movement to Temporary Expansions
Education and Skills	2016/17	Primary Programme	Borrowing	5		Budget movement to Brunswick
Education and Skills	2016/17	Primary Programme	Grants	(109)		Budget movement from Childs Hill
Education and Skills	2016/17	Primary Programme	Grants	(23)		Budget movement from St Agnes
Education and Skills	2016/17	Secondary Programme	Borrowing	56		Budget movement from East Barnet
Education and Skills	2016/17	Wave 1 - Whittings Hill	Borrowing	(200)		Budget movement to the Primary programme
Education and Skills	2016/17	Wave 1 - Northway/Fairway	Borrowing		(23)	Final works will not complete until Summer 2017
Education and Skills	2016/17	Wave 1 - Northway/Fairway	Capital Receipts		(127)	Final works will not complete until Summer 2017
Education and Skills	2016/17	Primary Capital Programme	Borrowing		(290)	Final works will not complete until Summer 2017
Family Services	2016/17	Implementation of libraries Strategy	Capital Receipts		(219)	Work now not expected to be completed until 17/18
Family Services	2016/17	Implementation of libraries Strategy	Capital Receipts	(1,005)		Budget movement to Capital Works
Family Services	2016/17	Libraries Service Capital Works	Capital Receipts	1,005		Budget movement from Library Strategy
Family Services	2016/17	Early Education and childcare place sufficiency	Borrowing		(517)	Design phase delays have resulted in project being completed in 17/18

Family Services	2016/17	Libraries Service Capital Works	Borrowing		(2,533)	Work now not expected to be completed until 17/18
Family Services	2016/17	Social care placements- residential and fostering expansions	Borrowing		(1,000)	works yet to be commissioned
Family Services	2016/17	Loft conversion and extension policy for Foster Carers	Borrowing		(170)	Planning submissions yet to be approved
Family Services	2016/17	Information Management	Capital Receipts		300	Re-profiled budget
Housing Needs Resources	2016/17	Development pipeline Tranche 3	Borrowing	(5,056)		Project now part of Open Door
Housing Needs Resources	2016/17	Hostel Refurbishment Programme	Capital Receipts		(57)	reduction in work specification for 16/17 to be added to 17/18
Parking and Infrastructure	2016/17	Lines and Signs	Reserve		(75)	Delays due to weather have pushed the scheme into 17/18
Parking and Infrastructure	2016/17	Parking Machines	revenue		(11)	Not required in 16/17
Parking and Infrastructure	2016/17	Town centre Bays	Reserve		(75)	Scheme now being delivered in 17/18
Parking and Infrastructure	2016/17	Parking signs and lines introduction and replenishment	Borrowing		(100)	schemes have started
Regional Enterprise	2016/17	Local Implementation Plan	Grants	(268)		
Regional Enterprise	2016/17	Bus stop Accessibility	Grants	(82)		
Regional Enterprise	2016/17	Air Quality Scheme	Grants	(4)		
Regional Enterprise	2016/17	Borough Cycling Programme	Grants	(7)		
Regional Enterprise	2016/17	Footway Reconstruction	S106 / Other	(33)	(43)	
Regional Enterprise	2016/17	Footway Reconstruction	Borrowing		(24)	
Regional Enterprise	2016/17	Traffic Management	Borrowing		(5)	
Regional Enterprise	2016/17	Traffic Management	S106 / Other	68	(111)	
Regional Enterprise	2016/17	Aerodrome Road	Capital Receipts		(29)	
Regional Enterprise	2016/17	Aerodrome Road	Borrowing		(821)	
Regional Enterprise	2016/17	Controlled Parking Zones	S106 / Other	(10)		
Regional Enterprise	2016/17	Controlled Parking Zones	Borrowing		(5)	
Regional Enterprise	2016/17	Colindale Station interchange	Capital Receipts		(44)	
Regional Enterprise	2016/17	Colindale Station interchange	Borrowing		(6)	
Regional Enterprise	2016/17	Signalisation Improvement - A5 Colindale A	S106 / Other	(199)	(156)	
Regional Enterprise	2016/17	Public Transportation Improvements - in Col	S106 / Other	63	(161)	
Regional Enterprise	2016/17	Public Transportation Improvements - in Col	Borrowing		(5)	
Regional Enterprise	2016/17	Pedestrian Improvements programme - RAF Museum	S106 / Other	(134)	(128)	
Regional Enterprise	2016/17	Colindale Hospital Parking Review	S106 / Other	(5)	(6)	
Regional Enterprise	2016/17	Colindale Hospital Parking Review	Borrowing		(5)	
Regional Enterprise	2016/17	Highways Improvement	S106 / Other	(181)	(364)	
Regional Enterprise	2016/17	Highways Improvement	Borrowing		(65)	
Regional Enterprise	2016/17	Travel Plan Implementation/monitoring	S106 / Other	(93)	(116)	
Regional Enterprise	2016/17	Travel Plan Implementation/monitoring	Borrowing		(25)	
Regional Enterprise	2016/17	Carriageways	Borrowing		(3,294)	
Regional Enterprise	2016/17	Outstanding Transport Commitments on completed schemes	S106 / Other	(3)		
Regional Enterprise	2016/17	HIGHWAYS PLANNED MAINTENANCE WORKS PROGRAMME	Reserve		(40)	
Regional Enterprise	2016/17	Footways Renewal	S106 / Other	133		

Regional Enterprise	2016/17	Footways Renewal	S106 / Other	(133)		
Regional Enterprise	2016/17	Investments in Roads & Pavements (NRP)	Borrowing		(2,965)	
Regional Enterprise	2016/17	Pothole Fund	Grants		(1)	
Regional Enterprise	2016/17	Saracens	S106 / Other	6	(17)	
Regional Enterprise	2016/17	Saracens	revenue		(6)	
Regional Enterprise	2016/17	Drainage Schemes	Grants		(69)	
Regional Enterprise	2016/17	Drainage Schemes	Borrowing		(423)	
Regional Enterprise	2016/17	Controlled Parking Review / implementation	S106 / Other	(57)	(107)	
Regional Enterprise	2016/17	Controlled Parking Review / implementation	Borrowing		(15)	
Regional Enterprise	2016/17	Controlled Parking Review / implementation	Capital Receipts		(4)	
Regional Enterprise	2016/17	Parking	S106 / Other	(2)		
Regional Enterprise	2016/17	Parking	Capital Receipts		(28)	
Regional Enterprise	2016/17	General Fund Regeneration	Capital Receipts		165	
Regional Enterprise	2016/17	BXC - Funding for land acquisition	Reserve		(14,516)	
Regional Enterprise	2016/17	Disabled Facilities Grant	Borrowing		(1,153)	
Regional Enterprise	2016/17	Social Mobility Fund	Grants	(210)		Project has been deleted
Regional Enterprise	2016/17	Office Build	Borrowing		(850)	
Street Scene	2016/17	Waste	Revenue		(132)	
Street Scene	2016/17	Fleet	Revenue		(102)	
Street Scene	2016/17	Street cleansing and greenspaces - vehicles and equipment	Revenue		(203)	
Street Scene	2016/17	Vehicles	Borrowing		(192)	
Housing - HRA	2016/17	Major Works (excl Granv Rd)	MRA		590	Additional is due to increase in Major work in December and anticipated increase in January 2017
Housing - HRA	2016/17	Misc - Repairs	MRA		(560)	Slippage is due to Restriction on H&S has delay work some of work
Housing - HRA	2016/17	M&E/ GAS	MRA		(153)	Slippage is due to the delay with Lisle Court and Cricklewood starting on site.
Housing - HRA	2016/17	Voids and Lettings	MRA		253	Additional is due to increase in volume of Adaptations and conditions of voids currently coming through.
Housing - HRA	2016/17	New Affordable Homes	Capital Receipts	313		Higher than anticipated Section 278 costs and management fees.
Housing - HRA	2016/17	Moreton Close	Capital Receipts		(1,015)	delays in appointing a contractor have resulted in the project slipping into 17/18
Commissioning Group	2016/17	Community Centre	Borrowing		(1,393)	Following delays in the procurement activity construction is now plan to start in April 2017
Commissioning Group	2016/17	Community Centre	S106 / Other		(91)	Following delays in the procurement activity construction is now plan to start in April 2017
Commissioning Group	2016/17	Community Centre	Capital Receipts		(516)	Following delays in the procurement activity construction is now plan to start in April 2017
Commissioning Group	2016/17	Asset Management	Borrowing		(700)	No further expected works in 16/17
Commissioning Group	2016/17	Sport and Physical Activities	Borrowing		(3,614)	Original Construction was going to Start in January 17, but delays to the design phase have pushed this project back

Commissioning Group	2016/17	Sport and Physical Activities	Reserve		(2,103)	Original Construction was going to Start in January 17, but delays to the design phase have pushed this project back
Education and Skills	2016/17	Primary Programme	Borrowing		(4,235)	funding for urgent primary places and slippage for unallocated funds
Education and Skills	2016/17	Primary Programme	S106 / Other		(268)	funding for urgent primary places and slippage for unallocated funds
Education and Skills	2016/17	Primary Programme	Grants		(3,498)	funding for urgent primary places and slippage for unallocated funds
Education and Skills	2016/17	SEN	Borrowing		(2,962)	slippage for unallocated funds
Education and Skills	2016/17	SEN	Capital Receipts		(2,038)	slippage for unallocated funds
Education and Skills	2016/17	SEN	S106 / Other		(1,000)	slippage for unallocated funds
Education and Skills	2016/17	Alternative Provision	Borrowing		(1,000)	construction is now due to start in July 17,
Education and Skills	2016/17	Alternative Provision	Grants		(6,684)	construction is now due to start in July 17,
Education and Skills	2016/17	Contingency	Borrowing		(5,000)	slippage for unallocated funds
Education and Skills	2016/17	School place planning – meeting basic need for school places (primary and secondary school places)	Borrowing		(2,000)	slippage for unallocated funds
Education and Skills	2016/17	School place planning – meeting basic need for school places (primary and secondary school places)	S106 / Other		(2,500)	slippage for unallocated funds
					(5,895)	(78,865)

Appendix E - Transformation Programme

Portfolio	Total budget (2015 - 2020) £'000
Adults and Health	5,051
Children and Families	6,999
Central	5,694
Growth and Development	1,074
Environment	3,539
Total	22,357

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Appendix F: Prudential Indicator Compliance

Upper Limits for Fixed Interest Rate Exposure and Variable Interest Rate Exposure

- These indicators allow the Council to manage the extent to which it is exposed to changes in interest rates.
- The upper limit for variable rate exposure allows for the use of variable rate debt to offset exposure to changes in short-term rates on our portfolio of investments.

	Limits for 2016/17 %
Upper Limit for Fixed Rate Exposure	100
Compliance with Limits:	Yes
Upper Limit for Variable Rate Exposure	40
Compliance with Limits:	Yes

Maturity Structure of Fixed Rate Borrowing

- This indicator is to limit large concentrations of fixed rate debt needing to be replaced at times of uncertainty over interest rates.

Maturity Structure of Fixed Rate Borrowing	Upper Limit %	Lower Limit %	Actual Fixed Rate Borrowing as at 31/12/16 £000	% Fixed Rate Borrowing as 31/12/16	Compliance with Set Limits?
Under 12 months	0	50	0	0	N/A
12 months and within 24 months	0	50	0	0	N/A
24 months and within 5 years	0	75	0	0	N/A
5 years and within 10 years	0	75	0	0%	N/A
10 years and above	0	100	304,080	100%	Yes

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Appendix G: Investments Outstanding

LB BARNET TREASURY DEPOSITS OUTSTANDING AS AT 31 December 2016					
Deal Number	Counter Party	Start Date	Maturity Date	Rate of Interest %	Principal Outstanding £
2000011542	Lancashire County Council	04-Nov-15	06-Nov-17	1.05	5,000,000
Local Authorities					5,000,000
2000011251	Aviva	06-Sep-13		0.42	4,000,000
2000011284	Goldman Sachs	01-Jul-16		0.35	4,000,000
2000011482	Ignis Liquidity Fund	26-Mar-14		0.52	1,200,000
2000011238	Federated Investors	01-Jul-15		0.33	7,500,000
2000011377	Invesco	07-May-15		0.32	6,100,000
Money Market Funds					22,800,000
2000010341	Bank of Scotland	09-Sep-12	CALL A/C	0.40	4,500,030
2000011563	Santander	11-Oct-16	11-Apr-17	0.49	21,000,000
2000011564	Santander	17-Oct-16	18-Apr-17	0.48	4,000,000
2000011565	Goldmans Sachs	15-Nov-16	15-May-17	0.69	22,000,000
2000011567	Standard Chartered	25-Nov-16	03-Mar-17	0.42	20,500,000
	Nat West Bank	30-Dec-16	04-Jan-17	0.01	7,192,000
UK Banks & Building Societies					79,192,030
Non UK Banks & UK Building Societies					0
TOTAL					106,992,030
Average rate of return				0.46	

	Summary Investments as at 31 December 2016	£'000
	Local Authorities	5,000
	Money Market Funds	22,800
	UK Banks & Building Societies	79,192
	Non UK Banks & UK Building Societies	0
	TOTAL	106,992

	Summary Investments as at 30 September 2016	£'000
	Local Authorities	5,000
	Money Market Funds	43,200
	UK Banks & Building Societies	57,500
	Non UK Banks & UK Building Societies	52,000
	TOTAL	157,700

	Summary Investments as at 30 June 2016	£'000
	Local Authorities	13,000
	Money Market Funds	54,500
	UK Banks & Building Societies	73,400
	Non UK Banks & UK Building Societies	22,500
	TOTAL	163,400

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Appendix Hi - Contract Benefit Realisation Tracking – CSG Contract

Introduction

The London Borough of Barnet entered into two agreements with Capita in 2013 – one for the delivery of back office services (finance, HR, Procurement, estates and project support) and one for the delivery of regulatory services through a joint venture (covering planning, environmental health, highways and regeneration).

Both of these contracts have been published on the Council's website:

- CSG has the value of £265m over 10 years
 - <https://www.barnet.gov.uk/citizen-home/council-and-democracy/one-barnet-transformation-programme/customer-and-support-group-csg/customer-and-support-group-csg-formerly-nscso-contract.html>
- Re has the value is £150m over 10 years
 - <https://www.barnet.gov.uk/citizen-home/council-and-democracy/one-barnet-transformation-programme/regional-enterprise-ltd-re/regional-enterprise-ltd-re-contract.html>

These contracts contain similar but complex payment structures and mechanisms. This page seeks to set out the payments paid to date and those to come against those set out in the initial business case for these contracts.

Types of payments

Pre-contract payments

The application for judicial review in 10th January 2013 and the appeal of the judicial review decision on the 2nd of August 2013 led to a delay in contract which started on the 1st September 2013. This resulted in the council entering a contract to provide interim support for the continuation of critical services (Customer Services and Revenues and Benefits mainly). Payments of £126k were made to cover a 5 week period for IT services from the 1st April 2013.

The link to this Delegated Powers Report (authorised by the Chief Operating Officer on the 24 May 2013) sets out further details:

<http://barnet.moderngov.co.uk/documents/s9026/2057%20-%20Interim%20Measure%20for%20Continuation%20of%20Critical%20Services.pdf>

The council's ICT infrastructure managed service supplier, 2e2 (UK) Limited, served notice of administration to the council. This led to the council entering an emergency arrangement to secure the continuation of critical IT infrastructure services. Payments of £67k were made to Capita.

The link to this Cabinet Resources Committee report sets out further details:

<http://barnet.moderngov.co.uk/documents/s8397/Interim%20IT%20Infrastructure%20Support%20Solution.pdf>

TOTAL £193k – as set out at 1a of the CSG benefit realisation sheet (shown on s/s as £14.933m – pre contract payment and interim service agreement)

Interim Service Agreement

The application for judicial review and the appeal of the judicial review decision led to a delay in contract signature. This resulted in the council seeking Cabinet Resources Committee authorisation to waive the Contract Procedure Rules to enter into an interim contract with Capita up to the value

of £14.74m to secure business critical activities on the 24th June agreeing a waiver to the 31st January 2015 however, as a result of the judicial review the contract commenced on the 1st September 2014

Of the £14.74m payment made to Capita in respect of the interim service agreement, £0.98m were in respect of cost of services provided in the interim period. £4.06m was refunded to the council once the formal contract had been signed and the following two amounts were off-set against the full value of the 10 year contract as these costs were anticipated within the financial modelling:
£5.64m – for service transformation in relation to transferring services
£4.06m – for business as usual service charges

The link to this Cabinet Resources Committee paper sets out further details:

<http://barnet.moderngov.co.uk/documents/s9372/727203%20-%20CRC%20Report%20-%20Interim%20Procurement%20Solution%20-%20Public%20Final.pdf>

TOTAL £14.74m – as set out at 1a of the CSG benefit realisation sheet (shown on s/s as £14.933m – pre contract payment and interim service agreement)

Contract payments

The schedule for the core contract payments of the 10 years is presented in the benefits realisation sheet.

TOTAL £265m – as set out at 1b of the CSG benefit realisation sheet

Transformation

Within the Output Specifications of the contract, details of activities to transform services are outlined, these include

- My Account
- Customer Access Strategy
- IS Strategy
- Community Asset Strategy
- Significant System Change including Integra and HR Core

These can be found in more detail using the following link

<https://www.barnet.gov.uk/citizen-home/council-and-democracy/one-barnet-transformation-programme/customer-and-support-group-csg/customer-and-support-group-csg-formerly-nscso-contract/schedule-1---output-specifications.html>

On commencement of the CSG contract, the council paid the remainder of the transformation monies £10.5m (£16.1m less £5.6m paid under Interim Service Agreement).

Gainshare

As part of the Contracts, some savings are eligible to a gainshare agreement. This means any that savings are eligible for gainshare, however all of these have guarantees attached to them. If these guarantees are not successfully achieved (assessed annually), then payments are made to the council up to the guarantee to ensure the saving is achieved. These gainshare payments are intended to incentivise the service provider to provide further benefits to the council. The gainshare percentages vary in each area and in some cases, in contract years.

The totals applicable are outlined at ② to ⑤ in the spread sheet. Capita have guaranteed procurement savings of £46.9m over the life of the contract. The total savings of £55.4m (made up of procurement, reduction in single person discounts and additional council tax income) are applicable to gainshare but if the guarantee is not achieved, payment will be made to the council.

Service Credits

Where there has been underperformance against a contracted KPIs (please see quarterly performance reporting for details), a service credit is paid to the council. This is a monetary amount, present by the payment mechanism as a separate item. This is not included in this spreadsheet, but is reported as part of the contract's quarterly reporting.

Contractual Adjustments

This includes adjustments in line with those outlined in the contract. This includes:

- annual indexation of the contract against inflation, and
- True-ups relates to a correction of assumed pre-contract costs to true cost to contract signature.

The totals applicable are outlined at ⑥ in each spreadsheet.

Project

The CSG and Re contract provide project management capacity which are paid for separately and captured as part of the cost of the project. The amount paid for this will vary depending on the number of projects being undertaken and before the CSG and Re contract would have been money we would have incurred with other third party consultants or organisations.

For some of these projects the council receives or recovers monies from third party partners in order to undertake the work. Example of this include but are not limited to Transport for London highways works which are grant funded by TfL and work carried out on regeneration projects which is typically recovered from development partners.

The totals applicable are outlined at ⑦ in each spreadsheet.

GLOSSARY

Gainshare	Gainshare means a distribution of benefits between the Authority and Service Provider in relation to a benefit calculated by reference to the relevant provision within Schedule 4 (Payment and Performance Mechanism), or business case developed under the provisions of Schedule 15 (Special Projects Approval Procedure) [page 22 – Contract Body]
Indexation	The Periodic Service Payment shall be indexed in accordance with the provisions of Schedule 4 (Payment and Performance Mechanism). [page 135 – Contract Body]
True up	This relates to a correction of assumed pre-contract costs to true cost to contract signature. <ul style="list-style-type: none">• This occurred due to the time delay in signing the contract – as a result of the Judicial Review – leading to an increase in the number of staff transferred (TUPE) to Capita on contract commencement.• This also relates to contract expenditure which was not fully accounted for in the transferred budget.
Transformation	Within the Output Specifications of the contract, details of activities to transform services are outlined, these include finance system change to Integra, HR system change to Core, invoice scanning and improvements to the IT infrastructure.

Appendix Hii - Customer and Support Group Benefits Realisation

FINANCIAL YEAR	2013/14	2014/15	2015/16	2016/17	Other years	Total
	£'000	£'000	£'000	£'000	£'000	£'000
1) CSG baseline - revenue	17,573	30,125	30,125	30,125	201,934	309,881
CSG baseline - capital	3,400					3,400
CSG managed budget	5,036	8,633	8,633	8,633	46,761	77,695
Total baseline	26,009	38,758	38,758	38,758	248,695	390,976
1b Payments made to Capita	35,963	24,482	26,672	48,571	129,908	265,596
1a Payments made to Capita in relation to pre contract and interim service agreement	14,933					14,933
Adjustment for payments not relating to CSG contract	(1,174)					(1,174)
Adjustment for refund of part of the Interim Service Agreement	(4,056)					(4,056)
Accrual Adjustment for payment in advance	(24,870)	2,094	(511)	(20,924)	44,211	-
Managed budgets payments	5,036	8,633	6,225	4,033	19,540	43,467
Total in year cost of transferring services comparable to baseline	25,831	35,208	32,386	31,680	193,659	318,765
Savings on core contract	177	3,549	6,372	7,078	55,036	72,212
2) Reducing number of Single Persons Discounts (net)	191	382	509	509	3,052	4,643
Reductions in SPD achieved (net)	714	409	733			1,856
Gainshare paid on achieving reductions and contractor costs	259	254	151	127		792
3) Additional Council Tax Income	0	81	377	484	2,904	3,846
Additional CT income achieved (net)	0	148	174			322
Gainshare paid on additional income	0	148	174			322
4) Additional income achieved (net)	359	411	447	121		1,338
Gainshare paid on additional income	209	350	412	87		1,058
CONTRACT YEAR	2013/14	2014/15	2015/16	2016/17	Other years	Total
	£'000	£'000	£'000	£'000	£'000	£'000
5) Procurement savings on wider council spend guaranteed	624	5,916	2,634	3,393	34,407	46,974
Procurement savings achieved (net)	1,030	6,684	2,834	3,383		13,931
Gainshare paid on savings achieved	482	1,092	1,867	1,721		5,162
Savings expected	992	9,928	9,892	11,463	95,399	127,675
Savings made	2,280	11,201	10,559	10,582		24,041
FINANCIAL YEAR	2013/14	2014/15	2015/16	2016/17	Other years	Total
	£'000	£'000	£'000	£'000	£'000	£'000
6) Actual Payments made to Capita in relation to contractual adjustments	324	1,680	1,754	3,376		7,133
7) Project Spend						
Capital -						
Schools build	535	2,182	1,350	954		5,021
Non Schools Investment	295	840	935	1,203		3,273
Transformation programme -						
Childrens & Families Portfolio	630	1,951	1,561	1,945		6,087
Adults & Health Portfolio	322	1,481	3,511	1,699		7,013
Environmental Portfolio	301	602	290	933		2,126
Growth & Development Portfolio		158	83			241
Central	344	3,062	4,308	3,469		11,183
Programme Management		717	698	411		1,826
Accrual Adjustment for payment in advance					1,983	
Additional chargeable work outside of the contract						
Print and Postage, DBS checks, Occupational Health, etc.	381	837	911	715		2,844
IT requests (over and above refresh)		652	196	205		1,053
	2,808	12,483	13,843	11,534	1,983	42,651
Payments to Capita in relation to CSG	54,977	40,488	44,873	65,416		205,755
Actual amounts paid including projection for current year to 31/12/16						

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Appendix Hiii - Capita Payments

Invoice Date	Invoice Number	Amount	Invoice Type	Invoice Contract	Qtr
07/10/2016	6003413006	£ 484,375.00	CSG Contract Payment	CSG Invoice 2	Q3
12/10/2016	6003416519	£ 7,818.65	CSG Contract Payment	CSG Invoice 3	Q3
12/10/2016	6003416518	£ 11,152.35	CSG Contract Payment	CSG Invoice 3	Q3
12/10/2016	6003416440	£ 12,931.25	CSG Contract Payment	CSG Invoice 2	Q3
12/10/2016	6003416479	£ 33,408.23	CSG Contract Payment	CSG Invoice 3	Q3
12/10/2016	6003416526	£ 36,228.00	CSG Contract Payment	CSG Invoice 1	Q3
14/10/2016	6003418992	£ 141,696.00	CSG Contract Payment	CSG Invoice 3	Q3
14/10/2016	6003418993	£ 558,920.58	CSG Contract Payment	CSG Invoice 3	Q3
14/10/2016	6003419054	£ 72,011.66	CSG Contract Payment	CSG Invoice 1	Q3
21/10/2016	6003420509	£ 172,328.17	CSG Contract Payment	CSG Invoice 3	Q3
21/10/2016	6003422285	£ 175,976.12	CSG Contract Payment	CSG Invoice 1	Q3
30/09/2016	6003409052	£ 1,323,383.10	CSG Contract Payment	CSG Invoice 2	Q3
01/11/2016	6003428084	£ 12,174.35	CSG Contract Payment	CSG Invoice 3	Q3
31/10/2016	6003427814	£ 182,523.02	CSG Contract Payment	CSG Invoice 1	Q3
31/10/2016	6003427597	£ 56,000.00	CSG Contract Payment	CSG Invoice 1	Q3
31/10/2016	6003427596	£ 70,000.00	CSG Contract Payment	CSG Invoice 1	Q3
10/11/2016	6003432460	£ 79,198.79	CSG Contract Payment	CSG Invoice 3	Q3
14/11/2016	6003434677	£ 161,405.00	CSG Contract Payment	CSG Invoice 3	Q3
15/11/2016	6003435365	£ 1,571,233.83	CSG Contract Payment	CSG Invoice 3	Q3
17/11/2016	6003435751	£ 118,411.00	CSG Contract Payment	CSG Invoice 1	Q3
17/11/2016	6003435752	£ 247,000.00	CSG Contract Payment	CSG Invoice 1	Q3
07/09/2016	6003393209	£ 8,879,241.83	CSG Contract Payment	CSG Invoice 1	Q3
09/12/2016	6003453228	£ 117,421.07	CSG Contract Payment	CSG Invoice 1	Q3
12/12/2016	6003455098	£ 183,464.00	CSG Contract Payment	CSG Invoice 1	Q3
14/12/2016	6003455821	£ 6,379,241.83	CSG Contract Payment - Agreed by Committee	CSG Invoice 1	Q3
14/12/2016	6003455817	£ 19,089,468.93	CSG Contract Payment - Agreed by Committee	CSG Invoice 1	Q3
14/12/2016	6003455663	£ 2,041,166.60	CSG Contract Payment	CSG Invoice 3	Q3
14/12/2016	6003455664	£ 280,102.25	CSG Contract Payment	CSG Invoice 3	Q3
14/12/2016	6003455847	£ 1,982,525.00	CSG Contract Payment - Agreed by Committee	CSG Invoice 3	Q3
14/12/2016	6003455862	£ 48,410.88	CSG Contract Payment	CSG Invoice 3	Q3
14/12/2016	6003455868	£ 2,439.35	CSG Contract Payment	CSG Invoice 2	Q3
14/12/2016	6003455863	£ 12,820.85	CSG Contract Payment	CSG Invoice 3	Q3
01/11/2016	6003428085	£ 43,976.10	CSG Contract Payment	CSG Invoice 1	Q3
20/12/2016	6003458776	£ 24,341.25	CSG Contract Payment	CSG Invoice 1	Q3
		£ 44,612,795.04			

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Appendix I - Log of Contract Variations

All approved Contract Variations from 1st October to 31st December 2016¹

Reference	Title	Description	Change Raised by	Status at 31-12-16	Financial Impact (over the life of the contract)	Service Impacted
CR095	Estates - change to Civic Estate site list	Removal of NLBP4 from the list of Civic Estate sites, which impacts KPIs 24a and 24b and further items	Authority	Approved	£0.00	Estates
CR112	Customer Services Updated KPI - follow on CR068	Web Satisfaction KPI's and Changes to Geometrics	Authority	Approved	£0.00	Customer Services
CR113	Cadcorp	Novation of Cadcorp Software License and Maintenance Contract to Capita	Authority	Approved	£92,204.35	IT
CR114	Cancellation of CR096 and CR097	To cancel the in error approved CRs CR096 Barnet Group System Contract Admin Change and CR097 Piper Lifeline	Service Provider	Approved	£0.00	Finance
CR115	Council-wide insight service	To maintain a central Insight Service as a centre of excellence for the Council which delivers high quality, detailed insight products which inform future policy and service configuration decisions across the range of services provided by the Council.	Service Provider	Approved	£64,000.00	insight
CR117	Prepayment of Service Charge	To allow for the prepayment of the 2017 calendar year service charge to the Authority to allow for the creation of a credit in favour of the Authority to the value of £471,000 in recognition of the repayment profiling and reduced interest costs to the Service Provider.	Service Provider	Approved	-£471,000.00	All Services

¹ The full list of Contract Variations (from the start of the contract) is available from the Commercial Team upon request.

Reference	Title	Description	Change Raised by	Status at 31-12-16	Financial Impact (over the life of the contract)	Service Impacted
CR120	Addition of Choose care Schedule to CSG contract	This change is to allow for the addition of the Choose care schedule to the main CSG contract	Service Provider	Approved	£0.00	Adults
TOTAL FINANCIAL IMPACT					-£314,795.65	

Appendix J: Corporate Risk Register (Quarter 3 2016/17)

Strategic risk register

(sorted by Nature of Risk and Residual Risk Score)

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Business Continuity												
STR01 1	Impact of change in policies	If there is a change in policies or in priorities across the Council / for specific Committees, this would result in increased workloads across the council associated with reworking of strategies, impacting on finances and ability to operate within budget	Chief Executive	Business Continuity	Decisions are made in accordance with legal advice, and the Council undertakes forward planning at the corporate level. The risk to the budget is controlled by the MTFS and business planning process, and members are fully engaged. A draft budget for 2017/18 is out for public consultation, and has been updated to reflect the Local Government Finance Settlement. Briefings have been sent to all councillors and senior management.	4	3	4	3	12	Same	Tolerate
STR01 3	Effective response to internal and external changes (political and economic)	Due to the complex nature of services provided, demographic changes and macroeconomic changes, the Council may be unable to effectively respond in an agile way to internal and external changes (political and economic) resulting in not being able to deliver organisational objectives, financial impact and reputational damage	Chief Executive	Business Continuity	The Council undertakes forward planning at the corporate level, as well as business planning. The corporate risk management framework and audit process also control this risk.	5	4	5	2	10	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR002	Capacity for business continuity responsiveness	If there is insufficient resource or capability to deal with crisis, such as those involving critical local infrastructure, and insufficient testing of Business Continuity Plans / incident response plans, the Council may be unable to respond effectively in the event of a crisis resulting in financial loss, disruption to services, resident dissatisfaction and reputational damage	Chief Operating Officer	Business Continuity	The Council has a corporate Business Continuity Strategy and Plan, and we maintain a network of business continuity leads, with quarterly meetings on this subject. We carry out bi-annual desktop tests, including live reporting. Plans are in development to test our arrangements through live scenarios.	4	5	4	2	8	Same	Treat
Financial												
STR003	Delivery of transformation programmes	If there are challenges with resource recruitment, changes in market conditions, changes in political decisions, change resistance, poor project management, budgetary management and engagement (staff and residents), this could lead to failure to deliver major transformation programmes, specifically Brent Cross, Mill Hill depot, Colindale office relocation, Street Scene Alternative Delivery Model (ADM), Adults & Communities ADM, Libraries programme and Social Care Practice Improvement and failure to maintain a balanced budget over the MTFS period resulting in resident dissatisfaction, disruption to services, financial loss, and reputational damage	Chief Executive	Financial	We have clear leadership in place through our Commissioning Directors, and the decision-making process is well understood. The Council has a well-established project management methodology and projects are regularly audited against this standard. Our governance structure is set up to support delivery, with member challenge. Our annual finance and business planning processes also support this.	5	4	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR004	In year budget reduction	The uncertainty and therefore lack of clarity on impact of changes in the national and regional political landscape, legislative changes and local government funding changes (e.g. lack of new funding for pressures in Adult Social Care and business rates localisation) that affect LBB services could lead to further reduction of the in-year budget resulting in non-achievement of MTFS target, reduction in service quality, resident dissatisfaction, deterioration of services, use of reserves and reputational damage. This could also have an impact on the existing overspend by increasing it.	Chief Executive	Financial	We have some contingency and reserves in place to mitigate the short term impact. We undertake forward planning, regularly updating our budget assumptions and monitoring the Government's fiscal announcements. However, we also maintain flexibility within existing plans to instigate recruitment freezes in non-front line services whilst long term plans are being put into place. We also maintain good contacts with central Government, to remain as informed as possible.	5	4	5	3	15	Same	Tolerate
STR005	Growth assumptions in the budgets	Due to a predication of contracts on income and a strategy that is increasingly focused on income, failure to deliver key transformation programmes and / or a fall in income would result in growth assumptions in the budget not materialising, causing potential failure of contracts and partners pulling out, and deterioration of the Council's financial position	Chief Executive	Financial	We have prudent contingency and reserves in place. We undertake forward planning, regularly updating our budget assumptions and monitoring the Government's fiscal announcements. We also maintain good contacts with central Government, to remain as informed as possible.	5	4	5	3	15	Same	Tolerate

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR010	Potential Fraud, bribery or corruption incident	If there are ineffective internal controls, governance arrangements, and neither fit for purpose nor adhered to policies and procedures, this could lead to the Council being unable to prevent an incident of organised or high value fraud, bribery or corruption resulting in loss of revenue, cost to the business (disposal and prosecution), staffing issues and reputational damage	Section 151 Officer	Financial	<p>The Council observes financial regulations, internal controls and standing orders, and contract procedure rules. There is a counter-fraud framework, including a whistleblowing policy. The Council also has an employee code of conduct, which includes a gifts and hospitality policy, and other HR Policies are in place. There is oversight by the Audit Committee, a dedicated fully qualified independent fraud team (CAFT), and an internal audit team.</p> <p>The CAFT have a risk-based joint work plan (with Internal Audit) and also conduct proactive fraud drives and also the Fraud Awareness Programme and advice. CAFT conduct Fraud Risk Assessments and Data Matching initiatives (such as the National Fraud Initiative) in high fraud risk areas. They are able to respond to referrals of fraud and investigate them through to the appropriate outcome. They work closely with HR where internal fraud also raises disciplinary issues and also are the only authorised team to conduct financial investigations on behalf of the council under Proceeds of Crime Act.</p>	4	4	3	3	9	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Health & Safety												
STR01 2	Potential Health & Safety incident or negative impact on wellbeing of Barnet employees, Members and members of the public	If health & safety / compliance policies & procedures are not sufficiently developed, tested or adhered to by officers, Members or the Council's contractors, this could lead to an incident resulting in harm to Barnet employees/council members/members of the public, legal challenge and reputational damage	Chief Executive	Health & Safety	H&S policies and processes around managing compliance are in place (available on the intranet), and the five civic buildings are being managed effectively. There are plans to identify gaps for other council stock (though these are not yet implemented). Training is undertaken so staff can find the right information, with some advertising on the intranet, and first team messaging to staff. Leaflets are distributed among the workforce. We have a web-based portal for referrals, with HR leading on some of these. There is a "split" service, allowing access to additional H&S advice available as required, but alongside Barnet-based staff with H&S knowledge of local issues carrying out monitoring activities (including H&S audits and inspections) as well as a statutory officer in place. We have systems to collect information on incidents, and undertake regular H&S audits and reports to senior officers and Committees.	4	3	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Staffing & Culture												
STR001	Sufficient skilled and experienced resources in the market-place	If there is a challenging recruitment market that impacts the ability to recruit and retain the right staff with the right skills, and causes a lack of stability of senior management, this could lead to limitations in the competency and capability of the workforce to deliver statutory responsibilities and / or corporate objectives resulting in potential legal challenge, impact on financial targets - savings and income, reduced service to residents, reduced residents satisfaction, loss of corporate memory and reputational damage	Chief Operating Officer	Staffing & Culture	There is a new unified reward package, focused on improving the offer to the market. We are building the Council's reputation externally, and have a tailored recruitment programme in place, as well as a graduate and apprentice programme. Our "The Way We Work" programme includes new offices in Colindale, and we are overall making Barnet a better place to work.	4	4	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Statutory Duty												
STR007	Significant safe-guarding incident	If Council services and partners do not effectively manage their relevant safeguarding risks, this could lead to a safeguarding incident resulting in potential harm to individuals and/or families, potential legal challenge, resident dissatisfaction, public scrutiny	Chief Executive	Statutory Duty	<p>Children: elements of the Practice Improvement Plan have been implemented, including training. We also have a supervision policy and practice standards, and undertake quality assurance activity.</p> <p>We adhere to pan-London safeguarding procedures and processes, and ensure scrutiny and oversight of safeguarding via assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Social Work Improvement Board</p> <p>Adults: adherence to the multi-agency pan London safeguarding adults procedures. Training programme. Supervision policy and practice standards. Quality assurance programme in place including case audit, supervision audit, performance monitoring. Assurance reports to SCB Assurance, Barnet Safeguarding Adults board and PQA sub-group; also to Adults committee and HWB annually.</p>	5	5	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR006	Complexity of partnership working in the Borough	Differences of geographical footprint and governance structures of key strategic partners (e.g. NHS, NLWA) exacerbated by any changes in leadership may lead to conflicting priorities between partner agencies, including in the use of critical local infrastructure, resulting in non-achievement of targets, increased risk of safeguarding incidents, resident dissatisfaction, ineffective allocation of resources and reputational damage	Chief Executive	Statutory Duty	We maintain good relationships with strategic partners, and have aligned our strategic plans where possible. We also hold regular update meetings with these partners, and members and senior officers are represented on key strategic boards.	4	4	4	3	12	Same	Treat
STR008	Challenge to the decision-making process	If due diligence, local views, obligations or strength of residents' views are not properly considered by any part of the organisation (retained or commissioned) as part of decision-making for changes to services, this may lead to challenges to the decision-making process resulting in legal challenge, judicial review of process, implications for officers and Members, and reputational damage	Chief Executive	Statutory Duty	Corporate advice and guidance on decision-making are in place, with a clearance process. Senior officers and members have oversight of decisions	5	4	5	2	10	Same	Tolerate

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR016	Neglecting Corporate Parenting duty	The Council and its partners neglecting to fulfil their duty as Corporate Parents could lead to poorer outcomes for children in care and care leavers across key areas including education, health and placements, resulting in an increased gap between children in care/care leavers' and their peers in the shorter term and poorer outcomes in the longer term.	Director of Children's Services	Statutory Duty	A joint motion by Councillors to Full Council in November 2015 resulted in the Barnet Care Leavers Pledge. The Child in Care council has been refreshed and the advocacy service is active across Family Services. A Child in Care improvement plan is being implemented. The Virtual School has invested in a strong structure and resources are targeted to improve outcomes, including through the PEP process. The 'Onwards and Upwards' care-leaving service is located in a town centre, where care leavers can access support and a broad range of multi-agency services. Strategic links have been developed with key partners	4	4	3	3	9	New	Treat
STR009	Contract management and clienting of contracts	If commercial and commissioning roles & responsibilities are not clearly defined and realisable or understood by officers and Members, and / or there are inadequate finance controls, this may lead to ineffective contract management & clienting, resulting in delivery of poor level of service, inappropriate decision-making weakening the negotiating position, and financial loss/overspend	Chief Executive	Statutory Duty	We have a contract management framework, with policy and procedures in place for commercial and commissioning activity. The Council's Commercial Team oversee this work, with SROs. We undertake contract monitoring, and members have oversight through the Performance and Contract Monitoring Committee and the Audit Committee. Opportunities for improving this work have been highlighted through the CSG contract review.	4	4	4	2	8	Reduced	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR014	Implementation of Elections reviews	If the Heath Review & the Smith Review into Barnet's election processes & procedures are not implemented, this could lead to an inability to deliver elections in compliance with national legislation and statutory guidance successful challenge of election results, loss of confidence in the electoral function, and the requirement to re-run election and associated financial consequences and reputational damage	Chief Executive as the Returning Officer	Statutory Duty	The recommendations of the Heath review have been implemented. The independent Smith review, a wider electoral services review, was completed in November and presented at the November General Functions Committee. In summary, Dr Smith's review found that the Electoral Registration and Elections Services in Barnet has strong and effective professional knowledge and experience and is compliant with both the law and Electoral Commission guidance, but that there are areas in which the services can be challenged to perform at a higher level and achieve beyond compliance. Dr Smith's report proposed 16 recommendations for Barnet's Electoral Registration and Elections services. These recommendations were all accepted by the Council and the Returning Officer and initial responses were presented with further work for full implementation of the review's recommendations within 2017.	4	4	4	2	8	Reduced	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR015	Effective running of the democratic process	If there was an inability to deliver elections in compliance with national legislation and statutory guidance, due to poor processes or inadequate resources (finance, people, accommodation etc.), it could lead to the successful challenge of election results, loss of confidence in the electoral function, and the requirement to re-run election and associated financial consequences and reputational damage	Chief Executive as the Returning Officer	Statutory Duty	Monthly election meetings are chaired by the Returning Officer (CEO) to track progress and issues, and the recommendations of the Heath review have been implemented. An action plan is being developed to ensure implementation of wider recommendations from the Smith review within reasonable timescale.	4	4	4	2	8	Same	Treat

Escalated service risks (scoring 15 and above)

(sorted by Delivery Unit, then Nature of Risk and Residual Risk Score)

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Adults & Communities												
AC002	Failure of care provider	<p>A care provider could suddenly be unable to deliver services, due to:</p> <ul style="list-style-type: none"> - provider going into administration - failure of regulatory inspection relating to quality of service - care provider chooses not to deliver services - HS&E breach <p>leading to operational disruption to manage the situation, harm to individuals by not having their care and support needs met, unexpected financial consequences, breach of statutory duty,</p>	Head of Integrated Care Quality	Business Continuity	<p>For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers.</p> <p>The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p> <p>A regular report setting out provider risks and concerns is circulated to the DASS and to the DU's Leadership team on a monthly basis and discussed through the regular DASS assurance meeting.</p>	5	5	5	4	20	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC001	Increased overspend to meet statutory duties	Adults & Communities Delivery Unit could have insufficient resources to meet its statutory duties due to operating in an environment in which there is inherent uncertainty in future demand for services, exacerbated by a potential inability to deliver savings, reduced ability to raise income from clients, the rising cost of care, other in year financial pressures due to unexpected demand, the increasing complexity and cost of care packages, and legislative changes. This could result in harm to individuals, legal challenge, worsening budget overspend, and reputational damage.	Adults and Communities Director	Statutory Duty	<p>The Council's budget management process (MTFS) forecasts demographic growth and pressures over a 3 year period. Budget and performance monitoring and management controls are used throughout the year. Work to reduce addressable spend (such as expenditure on agency staff) is being carried out in year.</p> <p>The Joint Strategic Needs Assessment will identify future demand pressures, and the Council will undertake initiatives focused on reducing and managing future demand in response, including the Adults' New Operating Model/ Alternative Delivery Vehicle which focus on reducing demand for services and finding more creative ways to manage complex need.</p>	5	5	5	4	20	Same	Treat
AC003	Unacceptable level of quality services provided by care providers	Unacceptable levels of quality of services provided by care provider could lead to additional dedicated Barnet resource needing to be put in place to address the situation, resulting in reduced ability to manage BAU, financial consequences. If the additional resource is not able to address the underperformance of the care provider, this could also lead to harm to individuals, reputational consequences	Head of Integrated Care Quality	Statutory Duty	<p>For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers.</p> <p>The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p>	4	5	4	4	16	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC004	Surge in demand from NHS	An unpredictable surge in demand from the NHS in situations where there is limited capacity could lead to the DU being unable to meet this demand within the NHS's required timescales. This could result in financial consequences, operational disruption leading to rushed decisions being made that have unintended negative consequences, potentially for individuals that have been discharged, and increased central government scrutiny.	Assistant Director Adult Social Care	Statutory Duty	System-wide resilience monies have been made available and these can be used to buy in extra capacity, subject to agreement by the NHS-led Improvement Board. There are monthly system resilience and operational resilience meetings between LBB, CCG and NHS Provider Trusts to discuss & manage pressures in the system, and to deliver action plans. Daily conference calls are in place to deal jointly with events as these happen.	4	5	3	5	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC008	Non-adherence to safeguarding policies and procedures	Staff non-adherence to policies and procedures (specifically safeguarding within the Care Act, and London-wide safeguarding policies and procedures), resulting in death or serious harm to individuals, legal challenge, financial loss, decreasing staff morale due to greater pressure and reputational damage.	Head of Safeguarding Adults	Statutory Duty	<p>Staff are required to undertake CPD of 5 days training & development per year, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision. Regular case file audits take place (using a pool of auditors from across the Department). Monthly reporting to leadership team on safeguarding activity. Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted.</p> <p>The Safeguarding Adults Board (multi-agency) meets regularly. Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult reviews (SARs) and the domestic homicide review process.</p> <p>Social workers are required to maintain professional standards for statutory registration with HCPC.</p> <p>Staff are supported and supervised by a senior social worker/ team manager in accordance with policy; in addition supervision, advice and guidance is provided from the Head of Safeguarding and specialist Safeguarding Team.</p>	5	4	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC011	Breach of mental capacity act or code of practice	Insufficient experienced staff and non-adherence to policies and procedures (permanent and agency, at all levels) to meet rising demand and complexity could lead to breach of the Mental Capacity Act or Code of Practice, resulting in Barnet not acting in someone's best interest (Mental Capacity Act), and as a result serious harm to individuals and/or the ongoing impact of such a breach on an individual's life; legal challenge, financial loss (legal costs) and reputational damage.	Assistant Director Social Care	Statutory Duty	<p>As with safeguarding issues, staff training is in place, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision (and responds to, for example, supervision and other quality audits). Regular case file audits take place (using a pool of auditors from across the Department).</p> <p>Monthly reporting to leadership team on safeguarding activity Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted. The Safeguarding Adults Board (multi-agency) meets regularly.</p> <p>Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult reviews (SARs) and the domestic homicide review process.</p>	5	4	5	3	15	New	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Barnet homes												
TBG001	Unviable cost of development scheme	<p>The Barnet Group are unable to deliver the portfolio of housing development schemes at a viable cost due to:</p> <ul style="list-style-type: none"> - external factors (change of legislation, economic, confidence in the market, availability of finance) - recruitment and retention of skilled individuals within the development team - viability of house design - planning permission which results in the termination of the scheme, financial impact across Council and Barnet Group (impact on staffing and sunk costs), reputational damage, knock on effect on ability to deliver the homelessness agenda 	Strategic Lead Housing	Financial	<p>Membership of professional bodies provides access to market intelligence. We undertake sensitivity analysis/stress testing of the financial business plan, with external support.</p> <p>There is a permanent team in place with relevant skills, and professional support from a team of advisors. TBG's governance structure, and reporting and to the senior leadership of the council and project boards, also contributes.</p> <p>Upfront work is undertaken with RE to ensure schemes are viable (e.g. planning), and there are upfront surveys of sites.</p> <p>There is also a stakeholder engagement plan, the council's project management toolkit, and council resource in place to support TBG. The council has agreed to use RTB receipts to help fund the scheme. Finally, there is an agreed procurement strategy</p>	5	4	5	3	15	Same	Treat

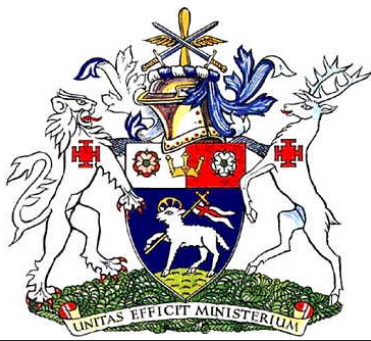
Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Customer Support Group (CSG)												
CSG13	IT service obsolescence	Inability of current infrastructure to handle multiple service applications due to portfolio of systems not being managed properly, with many approaching end-of-life, resulting in outdated and unusable systems, poor-performing systems and potential security breaches	Head of Information Management	Business Continuity	<p>Network design is validated through Public Services Network certification and Capita third party assurance.</p> <p>Dedicated infrastructure staff within Capita are focused on the control of the Barnet infrastructure.</p> <p>Capacity checks on wireless network are currently taking place to increase speed and resilience.</p>	4	5	4	4	16	Reduced	Treat
CSG12	IT service failure	Poor or non-maintenance by supplier of IT infrastructure, network services and applications at desired levels of speed resilience and security due to mismanagement and/or inadequate technical specification, leads to an IT service failure resulting in loss of critical service provision and associated ability to provide service continuity with accompanying reputational damage and cost to remedy (and potential litigation in event of breach of statutory obligations)	Head of Information Management	Business Continuity	<p>To address this risk, we have a validated network design and dedicated infrastructure staff. Network design is validated through Public Services Network certification and Capita third party assurance.</p> <p>Dedicated infrastructure staff within Capita are focused on the control of the Barnet infrastructure.</p> <p>Capacity checks on wireless network are currently taking place to increase speed and resilience.</p>	5	4	5	3	15	Reduced	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Family Services												
FS004	Serious gang-related incident	As a result of inappropriate decision making, which could be exacerbated by a lack of timely access to information, a gang and serious youth violence related incident could occur involving one or more young people within the borough resulting in a child death and reputational damage.	Asst. Director, Social Care	Health & Safety	<p>Our Gangs and Serious Youth Violence Strategy is overseen by the Community Safety Partnership Board and Youth Offending Partnership Board. We also have a gangs operational group, and a gangs, missing and child sexual exploitation strategic group.</p> <p>Our gangs operational protocol and screening tool helps control this risk, as well as the Keeping Young People Safe preventative project.</p> <p>A new multi-disciplinary team is being established to deliver intensive, wraparound interventions for high risk adolescents.</p>	5	5	4	4	16	Same	Treat
FS001	Significant child safeguarding incident	Inappropriate response or poor decision-making around a case leads to a significant children's safeguarding incident, resulting in increased risk of significant harm or death of a child, and reputational damage.	Asst. Director, Social Care	Statutory Duty	<p>Elements of the Practice Improvement Plan have been implemented (including training). Delivery of the plan is monitored regularly and overseen by a Board chaired by the Chief Executive.</p> <p>Supervision and practice standards help to control this risk, as well as quality assurance activity.</p> <p>We provide assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Social Work Improvement Board, to ensure scrutiny and oversight. The lead member meets monthly with service leads to provide oversight.</p>	5	5	4	4	16	Same	Treat

Key

		LIKELIHOOD					
		1	2	3	4	5	
		Rare	Unlikely	Possible	Likely	Almost Certain	
IMPACT	5	Catastrophic	Moderate	Medium / High	High	High	High
	4	Major	Moderate	Medium / High	Medium / High	High	High
	3	Moderate	Low	Moderate	Medium / High	Medium / High	High
	2	Minor	Low	Moderate	Moderate	Medium / High	Medium / High
	1	Negligible	Low	Low	Low	Moderate	Moderate

Treat	Implement controls and/or mitigations
Terminate	Avoid the activity that gives rise to the risk
Tolerate	Take the risk
Transfer	Outsource the activity; purchase insurance



Performance and Contract Management Committee

27 February 2017

Title	Review of procurement and mobilisation of adult social care enablement service
Report of	Adults and Communities Director
Wards	All
Status	Public
Urgent	No
Key	No
Enclosures	None
Officer Contact Details	Jess Baines-Holmes, Head of Service, 020 8358 3312, Jess.baines-holmes@barnet.gov.uk

Summary

At the Performance and Contract Management Committee on 15th November 2016, it was agreed that a report would be presented to the Committee at a future meeting to review the procurement and mobilisation of the social care enablement service. A version of this paper has been noted by the Adults and Safeguarding Committee at their meeting on 23rd January 2017 meeting.

On 5th September 2016 the Enablement Homecare Service transferred from the previous incumbent provider, Housing and Care 21, to Aquaflo Care Ltd. Despite measures in place to mitigate the risk of disruption during the mobilisation period, the transfer proved problematic and the Council had to take steps to ensure that continuity of enablement and home care support was provided to residents receiving a service from Aquaflo.

Actions taken by the Council in the early weeks included frequent contact with and reviews of service users, provision of welfare checks, moving vulnerable clients to alternative care providers, mobilising an out-of-hours immediate response service and close working with Aquaflo on improvements. These ensured that where possible any negative impacts of loss of service were mitigated and resolved. Social work reviews of clients did not identify any

enduring harm attributable to Aquaflo's failure.

Throughout the challenging events, staff within Adults and Communities demonstrated great dedication and commitment. Many worked out of hours to ensure the safety of individuals. Colleagues came together to maximise resources and work effectively as part of a focussed response to ensure the safety of residents

Subsequently, the Council commissioned additional services using other Council suppliers in good standing, providing further capacity to support residents.

The investigation into these circumstances has shown that the Council's procurement and mobilisation approach was robust, with a dedicated service user and carer advisory group informing and participating in the process from the early service development to the award of contract. However, Aquaflo was unable to deliver the service to the quality required. This report outlines a number of actions to further strengthen the Council's approach to similar procurement exercises to reduce the likelihood of a similar occurrence.

In December, a new enablement service, Your Choice Enablement, was mobilised successfully through a carefully managed process administered by a dedicated team and with oversight from senior Council officers. Lessons learnt from the previous provider's failure were used to inform the approach and proved invaluable to the success of the new service.

Recommendations

- 1. That the Committee notes the report setting out the review of the procurement and mobilisation of the previous enablement service in Barnet.**

1. WHY THIS REPORT IS NEEDED

- 1.1 This report reviews the failure of Aquaflo Care Ltd to deliver the contracted enablement service and outlines additional mitigations that the Council has put in place to reduce the risk of such a failure occurring again.
- 1.2 On 5th September the Enablement Homecare Service transferred from the incumbent provider, Housing and Care 21, to Aquaflo Care Ltd. Despite measures in place to mitigate the risk of disruption during the mobilisation period, the provider failed to deliver the service they were contracted to provide and the Council had to take steps to ensure that continuity of enablement support was provided to residents who were users of the Aquaflo service.
- 1.3 Enablement is a service that provides tailored short term rehabilitation support to meet a person's identified goals, to improve skills and confidence in living independently in their own home and allow them to access their community.
- 1.4 For some people, this can be achieved in a week or two, for others it may be up to six weeks. During the enablement period, social work practitioners within the Council undertake regular reviews to identify whether someone needs care and support in the longer term. Enablement packages for individuals will range from a couple of visits per week to multiple daily calls of between thirty minutes and an hour, depending on individual needs. Clients using the service tend not to be the most vulnerable that the Council supports and over 70% require no further social care service at the end of the enablement period. In a typical year, 1,600 people will use the enablement service, approximately 24% of those who use Council funded adult social care.
- 1.5 The Council first established an enablement service in 2009 through a variation to an existing home care contract. This was then procured through a competitive procurement process in 2010. The provider was Housing and Care 21. The contract length was four years with a one year extension and there was a requirement under contract procedure rules to re-procure the service.
- 1.6 In 2014 the Council commenced planning to re-commission the home and community support service, which provides domiciliary care. Officers in the Joint Commissioning Unit also undertook a review of the health and social care enablement pathway. As a result of this, the enablement service was included as a lot within the home and community support procurement.
- 1.7 Though the procurement and mobilisation planning was robust, the provider failed to deliver the service. This report summarises the lessons learned from the process and the actions to be taken by the Council as a result to mitigate the risk of a provider failing to deliver the contracted service again.

Procurement process

- 1.8 Following a review by officers in the Joint Commissioning Unit of the health and social care enablement pathway, a strategy for all local enablement services was developed. This included the gathering of best practice and review of current services to inform the specification for the re-commissioning of the enablement homecare provision. The Council's home care contracts were also coming to an end and the enablement service formed a specific lot within the home and community support procurement.
- 1.9 The Council undertook a competitive procurement process for Home and Community Support as required under EU public procurement legislation. The enablement service was one lot within this larger procurement. The authorisation to commence came from the Procurement Forward Plan 2015/2016, which was agreed by Policy and Resources Committee on 13 January 2015. A working group of service users and carers were involved for over a year in the procurement process, including bid evaluation.
- 1.10 Following a report to the Adults and Safeguarding Committee in November 2015, where it was agreed to include the payment of travel time for care workers in home and community support contracts, the procurement specified that bidders needed to pay travel time. The procurement also specified that bidders had to take account of increases in the National Living Wage in their bids.
- 1.11 The Council used a number of methods to select the successful bidder for the enablement contract. The bids were subject to comprehensive evaluation, carried out by legal, procurement, adult social care operations and commissioning, users and carers.
- 1.12 A financial evaluation was undertaken which assessed financial standing, stability and sustainability of the tenderer. Aquaflo passed all financial checks in the procurement process.
- 1.13 A series of method statements were set for bidders, covering a number of important areas of delivery. Bidders were asked to provide supporting documentation including job descriptions, policy and procedures and a mobilisation plan.
- 1.14 Bidders were asked to reference past experience of their ability to deliver in their responses to the method statements. The use of these examples was scored more highly. Aquaflo were able to reference delivery of 1,500 hours of homecare per week in neighbouring Brent and the enablement service for Bexley.
- 1.15 In efforts to mitigate the risk of poor quality but low cost services winning the procurement, pass / fail hurdles and minimum quality thresholds were also employed. This meant that there were a number of mandatory requirements that had to be met in order for a bid to be compliant and minimum scores which had to be achieved in respect of certain quality criteria for evaluation.

- 1.16 Critically, bidders had to have received a rating of 'Good' under the regulator, the Care Quality Commission's current inspection system or 'Met all Standards' under the previous inspection regime. These ratings are not equivalent, however procurement advice received was that as not all bidders would yet have a received an inspection under the new system it would be unfair to exclude ratings received under the previous one.
- 1.17 Aquaflo did not have a Barnet branch and provided the inspection report of their nearest located branch, Stratford, which had met all standards upon inspection in May 2014.
- 1.18 Experienced staff from the Council's procurement, finance and social care services undertook each part of the evaluation. A number of providers did not meet the minimum quality criteria and therefore did not proceed to the final stages of the evaluation process. The process was robust and well managed.

TUPE Transfer

- 1.19 It was identified at the outset of the procurement that the Transfer of Undertakings (Protection of Employment) Regulations 2006 (as amended) were likely to apply as a result of the re-commissioning of the enablement service. As the service was already delivered by an external supplier, the Council would not be a party to the transfer of staff.
- 1.20 The Council's policy is to facilitate and support the flow of information in the interests of a successful transfer and continuity of service but it has no legal standing in the process. The position of the Council is to remain as a conduit for information but not to take an active role in managing the process. Both suppliers advised that they were experienced in managing the handover of staff and Aquaflo provided a project plan for the process of consultation and transfer.
- 1.21 Housing and Care 21 initially advised that there were likely to be 31 workers subject to TUPE, however on 1st September Housing and Care 21 informed Aquaflo that only 12 staff would transfer. It is unclear why the other workers were not eligible to transfer. Communications between the new provider and the transferring staff were limited.
- 1.22 Although there had been contingency planning undertaken by Aquaflo in order to prepare for the eventuality that no or a limited number of staff transferred, the significantly reduced cohort and the manner of transfer did have an impact on service delivery. The transferring staff were not well briefed or equipped to carry out the service on day one and were lacking uniforms, identification and a clear understanding of the differing working practices.

Actions

- 1.23 *The Council to insist on greater oversight of staff transfer for high risk services. As a minimum the Council will monitor progress against detailed*

milestones from a joint plan to manage the transfer and demand evidence of progress.

Mobilisation

- 1.24 A thorough service transfer and mobilisation plan was agreed with both the old and new provider and regular weekly meetings were held to assess progress against this. This was managed using the Council's project management methodology. The project was overseen by a project board chaired by the Community and Wellbeing Assistant Director in the Adults and Communities Delivery Unit. The project had the full range of formal project controls in place including regular progress and risk reporting along with regularly updated action, risk and issue logs.
- 1.25 Four weeks prior to the new service commencing, existing enablement service users received a letter from Barnet Council notifying them that there would be a change of provider to Aquaflo from 5th September and provided contact details if there were any concerns or questions.
- 1.26 Due to the short term nature of the enablement service, it was agreed that a letter would only be sent to service users a week prior to the new service as many would cease their enablement service, prior to Aquaflo becoming the provider. All those still in receipt of enablement received a letter advising that their care package would transfer to the new provider.
- 1.27 Adult social care staff in the Council received regular written updates on the transition and mobilisation and all staff face to face briefings led by the Adults and Communities Senior Management Team. There were also specific and tailored briefings from the Heads of Service and their managers in team meetings. The staff who would be working directly with Aquaflo met weekly with them to monitor the handover.
- 1.28 At one of these regular meetings run by the Council on 1 September, in the week prior to the planned go-live date of 5 September, Aquaflo raised for the first time that there were problems with poor quality information about service users being transmitted between the then incumbent provider and Aquaflo. Council staff worked hard to mitigate this by working closely with Housing and Care 21 to gather their information and then collating information on client enablement plans from the Council's own systems to provide to Aquaflo. This included two Council officers working through the weekend prior to go-live on 5 September 2016 to ensure that Aquaflo had sufficient information to provide agreed enablement packages to existing service users. Based on the output of this work, the Council believed it was safe to go-live with the new contract.
- 1.29 On 6 September 2016, the Council's project manager escalated to managers within the Adults and Communities delivery unit that there were serious concerns about gaps in the information on clients held by Aquaflo and that there were a significant numbers of missed and late calls. This triggered an immediate response by adult social care management and staff to ensure that service users received care and that their welfare was assured.

- 1.30 The Council has a provider failure policy that sets out the appropriate response to a failure. The Council has previously managed two provider failures in the domiciliary care sector specifically the 2014 failure of two domiciliary care firms, Personnel and Care Bank, who were issued with a default notice and then handed back their contract, and London Care who had their contract terminated.
- 1.31 In line with this the Council consulted with other Local Authorities to identify any shared concerns and agreed a joint approach where appropriate.
- 1.32 Providers of registered care can experience quality failures and when this occurs the Council will oversee a process of support and improvement to ensure residents are kept safe and services improve, or that people are appropriately moved to a new provider. In these circumstances the Council works closely with the Care Quality Commission (CQC).
- 1.33 The Council contacted the CQC inspections manager to advise of risks to individuals and evidence of regulatory breaches and to co-ordinate with CQC monitoring and inspection activities.
- 1.34 Once made aware of the problems with the new service, the Council put in place a comprehensive range of measures to ensure the continuity and provision of care to residents. These included:
- Adults and Communities staff contacted everyone who should have received care to confirm their well-being. Where alternative care was urgently needed it was put in place immediately. Further checks were then made throughout the period of each individual's enablement service.
 - Two members of adult social care staff were sent to Aquaflo's office to support them with the planning of care rosters.
 - For some cases the Council immediately put in place care from other homecare providers instead of the Aquaflo service and informed individuals and their families of this.
 - The Council commissioned additional capacity from its strategic homecare providers to make any urgent care visits. This included 57 welfare checks on 7 September.
 - Adults and Communities stopped any new referrals to Aquaflo's enablement service.
 - Adults and Communities put in place an out of hours emergency support service to deal with concerns from clients and provide additional cover for care visits over the weekend. This included care provision from Your Choice Barnet, which has established a personal assistant service.
 - Regular updates from management on situation management were cascaded to the various teams in Adults and Communities responding to the situation.
 - Carrying out social work reviews of clients to assess their on-going needs and ensure that these are met.

- Regular provider meetings led by the Delivery Unit Director and / or the Assistant Director to ensure swift action was taken to rectify issues with late or missed calls.
- Providing regular updates to staff including through emails and verbal briefings.
- Conversations and support to staff members to help them re-prioritise their work to ensure there was sufficient capacity to respond to the urgent issues. In addition to management cover, five staff members volunteered to provide additional out-of-hours capacity paid at over-time rates to telephone service users, check on their welfare and respond to any issues in care provision, arranging alternative provision where necessary.
- The Adults and Communities senior management team held multiple daily status and planning meetings with the appropriate officers working with clients and providers; regularly briefing the Leader, Committee Chairman, Chief Executive, Commissioning Director and taking on weekend duty work to respond to the situation.

Actions

- 1.35 *Contract terms will now include a stipulation that the provider's rostering system must be fully embedded prior to contract commencement and a new system cannot be installed without the express written permission of the Council. This will ensure that the Council will be able to monitor the delivery of services in real time and ensure visits are all executed and recorded live.*
- 1.36 *The Council will require oversight of any critical system change management process.*
- 1.37 *The Council will require evidence that rosters / schedules are in place ahead of contract go-live and not rely on assurances that they are.*

Contract termination

See exempt report

Adults and Communities staff feedback

- 1.38 During the Aquaflo failure, staff were regularly updated via team meetings, briefings and formal and informal communications.
- 1.39 Following this, a series of workshops were then held to both further update staff and to provide an opportunity for staff to feed back on their experiences and views. Three workshops were held, two with the teams most involved, and one for any staff to attend. Staff took the opportunity to talk about the events, but also to make valuable recommendations for future actions to assist in mitigating risk. Feedback from the teams has already been used to inform mobilisation of the new service.

New Service

- 1.40 The Council is now working with The Barnet Group to deliver a new enablement service 'Your Choice Enablement'. This commenced on 5th December and has been managed by a dedicated project manager, project team and the support of all allied services.
- 1.41 Service user feedback has been good to date and close monitoring will continue to ensure that this remains the case. This includes weekly calls to service users, regular meetings with the provider at operational and strategic levels, and the co-location of the service within the Adults and Communities Delivery Unit.
- 1.42 The service went live with a fully functional electronic call monitoring system in place, in line with Council requirements to ensure visits can be tracked. There have been no missed visits reported.
- 1.43 A Council brokerage officer is also co-located with the Your Choice Enablement service.

Conclusion

- 1.44 The investigation into the enablement procurement and mobilisation has shown that the Council's approach was robust but that Aquaflo was unable to deliver the service to the quality required. The actions set out in the sections above should mitigate the risk of another provider failing to deliver and reduce the likelihood of a similar occurrence.
- 1.45 This review has also shown the dedication and commitment of many staff in the days and weeks following the commencement of the new service. Many worked late into the evening and through weekends to ensure the safety of individuals. Colleagues came together to leverage resources effectively and to support the delivery of the contingency plan and business continuity response. This work highlights the best of Council staff's collaboration and commitment to the needs of Barnet's vulnerable people.

2. REASONS FOR RECOMMENDATIONS

- 2.1 To provide the Committee with a review of the procurement and mobilisation of the enablement service as requested in November.

Impact on service users

- 2.2 It is clear that the majority of the 130 clients transferred to Aquaflo experienced one or more missed visits during September 2016. One of the challenges in this situation has been that Aquaflo had not been using the Council's Call Monitoring software as required within the contract and so the Council cannot fully determine the precise number of visits missed.

- 2.3 The Council worked hard to minimise the impact on clients. Everyone who contacted the local authority with a concern had a review of service within a week. Service Users received welfare checks arranged by the Council, telephone calls and visits from Council staff. There was a quick response to every individual issue raised and it was ensured that those most vulnerable were quickly transferred to new providers.
- 2.4 Open cases all had an allocated Council worker who has seen the adult face-to-face at least once. From this engagement, it has been established that there were two safeguarding concerns and these were followed up in accordance with the Council's procedures.
- 2.5 Under the old contract, there was sometimes a waiting list for enablement as the wider care market is stretched and recruitment to care worker posts can be challenging. The Council has an enablement triage team in place to screen and prioritise all referrals.
- 2.6 Referrals for enablement have been directed to other providers and other suitable services have been provided. Where necessary, the Council has commissioned additional services to meet the needs of residents and support safe discharge from hospital working jointly with health colleagues to find the right outcome.
- 2.7 All those in receipt of the Aquaflo were reviewed and these reviews have not identified any enduring harm attributable to Aquaflo's failure.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 N/A

4. POST DECISION IMPLEMENTATION

- 4.1 The work to ensure a safe and sustainable enablement service is delivered to the residents of Barnet will continue.
- 4.2 The actions outlined in this report will be undertaken with the appropriate services during future procurement and mobilisations activities.

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

- 5.1.1 Commissioning an Enablement service supports the Corporate Plan priorities of Managing Demand for Services (Fairness) and Transforming Services (Opportunity), specifically:

Working with older people to design and manage services that help them to be more independent and self-care through access to information, resources and community networks.

Helping the NHS manage the cost of A&E and hospital admissions through greater provision of primary and community care and improving the experience of service users, promoting independence and enabling self-care. By 2020 social care services for adults will be remodelled to focus on promoting independence, with a greater emphasis on early intervention. This approach, working with housing and health services, will enable more people to live for longer in their own homes.

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

See exempt report

5.3 Social Value

5.3.1 N/A

5.4 Legal and Constitutional References

5.4.1 Under the Council's Constitution, Responsibility for Functions (Annex A) the terms of reference of the Performance and Contract Management Committee includes the following responsibilities:

- Monitoring of Performance including, but not limited to, targets of Delivery Units and Support Groups including Customer Support Group; Re; the Barnet Group Ltd (including Barnet Homes and Your Choice Barnet); HB Public Law; NSL; Adults and Communities; Family Services; Education and Skills; Street Scene; Public Health; Commissioning Group; and Assurance.
- Receive and scrutinise contract variations and change requests in respect of external delivery units.
- To make recommendations to Policy and Resources and Theme Committees on relevant policy and commissioning implications arising from the scrutiny of performance of Delivery Units and External Providers.
- To receive reports on relevant performance information on Delivery Units providing services under the remit of the Committee.

5.4.2 Responsibility for Functions, Annex A (as outlined in the council's constitution), states that the Adults & Safeguarding Committee is responsible for those powers, duties and functions of the Council in relation to Adults and Communities, which includes the promotion of the best possible Adult Social Care services.

5.4.3 Under s2 of the Care Act 2014, there is a duty to provide or arrange services that reduce needs for support among people and their carers in the local area, and contributes towards preventing or delaying the development of such needs. Enablement usually encompasses providing support and services

within the service user's own home and must be provided for up to 6 weeks without any financial charge being made.

5.5 Risk Management

5.5.1 The Council actively sought to mitigate risk arising through the provider's failure in the ways described above. The priority is now to ensure that those requiring a short-term enabling service in their own homes can be effectively supported to regain their independence through the new provider, Your Choice Enablement.

5.6 Equalities and Diversity

5.6.1 The 2010 Equality Act outlines the provisions of the Public Sector Equalities Duty which requires Public Bodies to have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010
- advance equality of opportunity between people from different groups
- foster good relations between people from different groups

5.7 Consultation and Engagement

5.7.1 Representatives of service users and carers were involved throughout the procurement process, participating in the development of the service specification and throughout the procurement evaluation.

5.8 Insight

5.8.1 N/A

6. BACKGROUND PAPERS

6.1 Approval to commence procurement via sign-off of procurement forward plan 2015/2016 - Policy and Resources Committee, agenda item 10, 13 January 2015

<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=7864&Ver=4>

6.2 Approval of contract award via Officer Full DPR, 8 March 2016 signed by the Adults and Communities Director in consultation with the Chairmen of Adults and Safeguarding and Children, Education, Libraries and Safeguarding Committees <http://barnet.moderngov.co.uk/ieDecisionDetails.aspx?ID=6186>

6.3 Approval of the Enablement Home Care Commissioning Strategy, Adults and Safeguarding Committee, agenda item 13, 12th November 2015

<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=698&MId=8362&Ver=4>

- 6.4 Update on adult social care enablement service, Urgency Committee, agenda item 9, 17th October 2016
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=716&MId=9062&Ver=4>
- 6.5 Update provided by the Chairman, Adults and Safeguarding Committee, agenda item 7, 10th November 2016
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=698&MId=8674&Ver=4>
- 6.6 Review of procurement and mobilisation of adult social care enablement service
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=698&MId=8675&Ver=4>

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	AGENDA ITEM 9
	<p>Performance and Contract Management Committee</p> <p>27 February 2017</p>
Title	Committee Work Programme
Report of	Head of Governance
Wards	All
Status	Public
Urgent	No
Key	No
Enclosures	Appendix A – Committee Work Programme 2017
Officer Contact Details	Salar Rida, Governance Officer salar.rida@barnet.gov.uk 020 8359 7113

Summary
The Committee is asked to consider and comment on the items included in the 2017 work programme in Appendix A.

Recommendation
1. That the Committee consider and comment on the items included in the 2017 work programme in Appendix A.

1. WHY THIS REPORT IS NEEDED

- 1.1 The Performance and Contract Management Committee’s work programme 2017 indicates forthcoming items of business.
- 1.2 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.

1.3 The Committee is empowered to agree its priorities and determine its own schedule of work within the programme having regard to its terms of reference.

2. REASONS FOR RECOMMENDATION

2.1 The compilation and review of work programme is intended to assist the Committee to plan and manage its work across the municipal year.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

3.1 None

4. POST DECISION IMPLEMENTATION

4.1 Any alterations made by the Committee to its Work Programme will be published on the Council's website.

5. IMPLICATIONS OF DECISION

5.1.1 The Committee Work Programme is in accordance with the Council's strategic objectives and priorities as stated in the Corporate Plan 2015-20.

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

5.2.1 None in the context of this report.

5.3 Social Value

5.3.1 The Committee is advised that the Public Services (Social Value) Act 2013 requires people who commission public services to think about how they can also secure wider social, economic and environmental benefits. Before commencing a procurement process, commissioners should think about whether the services they are going to buy, or the way they are going to buy them, could secure these benefits for their area or stakeholders.

5.4 Legal and Constitutional References

5.4.1 The terms of reference of the Performance and Contract Management Committee is included in the Constitution Responsibility for Functions, Annex A:

[Section 15 London Borough of Barnet Constitution - Responsibility for Functions](#)

5.5 Risk Management

5.5.1 None in the context of this report.

5.6 Equalities and Diversity

5.6.1 The Committee is advised that the 2010 Equality Act outlines the provisions of the Public Sector Equalities Duty which requires Public Bodies to have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010
- advance equality of opportunity between people from different groups
- foster good relations between people from different groups.

5.6.2 The broad purpose of this duty is to integrate considerations of equality into day business and keep them under review in decision making, the design of policies and the delivery of services.

5.7 Consultation and Engagement

5.7.1 Not applicable.

6. BACKGROUND PAPERS

None

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**London Borough of Barnet
Performance and Contract
Management Committee
Work Programme 2017**

Contact: Salar Rida 020 8359 7113 salar.rida@barnet.gov.uk

Title of Report	Overview of decision	Report Of (<i>officer</i>)	Issue Type (Non key/Key/Urgent)
27 February 2017			
Quarter 3 Monitoring Report 2016/17	To review and approve quarter 3 2016/17 finance and performance report for internal and external delivery units. This report includes treasury management outturn.	Stephen Evans Interim Chief Operating Officer	Non key
Update on Council's Enablement Contract	To receive an update on the performance issues that had arisen, lessons learnt and measures taken	Dawn Wakeling, Commissioning Director, Adults and Health Matthew Kendall, Adults and Communities Director James Mass, Communities and Wellbeing Assistant Director	Non key
6 June 2017			
Quarter 4 and Year End Outturn Monitoring Report 2016/17	To review and approve final outturn and quarter 4 2016/17 finance and performance report, including treasury management outturn.	Stephen Evans Interim Chief Operating Officer	Non key
Final Corporate Plan – Addendum 2017/18 (information only)	To note the report	Stephen Evans Interim Chief Operating Officer	Non key

Subject	Decision requested	Report Of	Type
CSG Web Improvement Update	To receive a further report on the progress of the website improvement plan in accordance with the council's Customer Access Strategy.	<p>Stephen Evans Interim Chief Operating Officer</p> <p>Kari Manovitch, Head of Customer Strategy and Programmes, Commercial</p> <p>Katherine Lyon, Head of Customer Services and Transformation, Capita</p> <p>Chris Melia Customer Experience Manager, Capita</p>	Non key
Cambridge Education - Education and Skills Contract – update on KPI's	At the meeting on 31 st May 2016, the Committee agreed to receive regular update reports and within 6-9 months a report on performance against the KPI's in relation to the Education and Skills Contract.	Val White, Programme Director Education and Learning	Non key
Target for delivery of affordable housing completions	To review performance and targets	<p>Stephen Evans Interim Chief Operating Officer</p> <p>Paul Shipway Strategic Housing Lead</p>	Non key
12 September 2017			
Quarter 1 Monitoring Report 2017/18	To review and approve quarter 1 2017/18 finance and performance report for internal and external delivery units. This report includes treasury management outturn.	Stephen Evans Interim Chief Operating Officer	Non key

Subject	Decision requested	Report Of	Type
Barnet Group Annual Report 2016/17	To note the Barnet Group Annual Report for 2016/17.	Troy Henshall, The Barnet Group Chief Executive	Non key
28 November 2017			
Quarter 2 Monitoring Report 2017/18	To review and approve quarter 2 2017/18 finance and performance report for internal and external delivery units. This report includes treasury management outturn.	Stephen Evans Interim Chief Operating Officer	Non key
Re Contract Review	To review and receive update report.	Stephen Evans Interim Chief Operating Officer	Non key
To be allocated			
Clienting Arrangements - Customer & Support Group (CSG) Contract	At its meeting on 31 st May 2016, the Committee noted the clienting and contract management arrangements in place in respect of the CSG contract and requested to receive an update report at a future meeting for the purposes of monitoring the arrangements.	Stephen Evans Interim Chief Operating Officer	Non key
Parking Enforcement Contract review	To consider and review the parking enforcement contract.	Commissioning Director, Environment	Non key

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

AGENDA ITEM 12

Document is Restricted

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