

**MEETING**

**PERFORMANCE AND CONTRACT MANAGEMENT COMMITTEE**

**DATE AND TIME**

**THURSDAY 5TH JANUARY, 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 Geof Cooke  
Councillor Rohit Grover

Councillor Kathy Levine  
Councillor John Marshall  
Councillor Shimon Ryde

Councillor Arjun Mittra  
Councillor Reema Patel  
Councillor Peter Zinkin

**Substitute Members**

Councillor Paul Edwards  
Councillor Gabriel Rozenberg

Councillor Lisa Rutter  
Councillor Alison Moore

Councillor Caroline Stock  
Councillor Barry Rawlings

In line with the Constitution's Public Participation and Engagement Rules, public questions or comments must be submitted by 10.00AM on the third working day before the date of the committee meeting. Therefore, the deadline for this meeting is 10.00AM on Friday 30 December 2016. Requests must be submitted to Salar Rida 020 8359 7113 [salar.rida@barnet.gov.uk](mailto: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](mailto:salar.rida@barnet.gov.uk)

Media Relations contact: Sue Cocker 020 8359 7039

**ASSURANCE GROUP**

## ORDER OF BUSINESS

Item No	Title of Report	Pages
1.	Minutes of the Previous Meeting	5 - 10
2.	Absence of Members	
3.	Declarations of Members Disclosable Pecuniary Interests and Non-Pecuniary Interests	
4.	Report of the Monitoring Officer (if any)	
5.	Public Questions and Comments (if any)	
6.	Members' Items (if any)	
7.	Proposed indicators for the Corporate Plan - 2017/18 addendum	11 - 40
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10.	Extending the remit of the Member-led Working Group for the Year Four Review of the DRS Partnering Contract	89 - 98
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12.	Any Other Items that the Chairman Decides are Urgent	

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## Decisions of the Performance and Contract Management Committee

15 November 2016

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 Arjun Mittra

Councillor John Marshall  
Councillor Reema Patel  
Councillor Shimon Ryde  
Councillor Peter Zinkin

### 1. MINUTES OF THE PREVIOUS MEETING

The Chairman of the Performance and Contract Management Committee, Councillor Anthony Finn welcomed all attendants to the meeting.

**RESOLVED** that subject to the addition of the names of Councillor Arjun Mittra and Councillor Barry Rawlings (Substitute) on the front page, the minutes of the previous meeting held on 6 September 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, 8	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.
Arjun Mittra	7, 8	Non-pecuniary interest by virtue of being tenant of Barnet Homes. interest by virtue of currently working for the GLA
Jess Brayne	7, 8	Non-pecuniary interest by virtue of being a leasehold tenant together with her partner of Barnet Homes.

**4. REPORT OF THE MONITORING OFFICER (IF ANY)**

None.

**5. PUBLIC QUESTIONS AND COMMENTS (IF ANY)**

The Committee noted the details of the received public questions and the public answers which were published ahead of the meeting. Responses to the supplementary public questions were provided verbally by Officers at the meeting.

Mr John Dix addressed the Committee and made a public comment in relation to agenda item 8 (Year Three Review of Customer and Support Group (CSG) Contract).

**6. MEMBERS' ITEMS (IF ANY)**

There were none.

**7. QUARTER 2 PERFORMANCE MONITORING 2016/17**

The Chairman introduced the item and invited the Interim Strategic Lead for Programmes & Performance, Jamie Masraff to present the item.

Mr Masraff provided a verbal summary to the Committee about the progress for Quarter 2 against the Corporate Plan.

The Head of Customer Strategy and Programmes, Kari Manovitch updated the Committee about the positive direction of travel in terms of customer experience. She noted that the overall customer service ratings for this quarter are above targets and performing well.

Following a query from the Committee about improving usage of web forms, Ms Manovitch stated that figures shown are not fully reflective as this does not include all web forms used, only those that come under CSG responsibility.

Ms Manovitch spoke about the efforts undertaken to encourage use of web forms to increase online interaction. The shift in direction was also noted by virtue of data which showed an increase in usage of web forms and reduction of face to face/ phone calls.

The Assistant Director for Community and Wellbeing, James Mass provided an update to the Committee about the consultation due to be undertaken with the Director for Adult Social Services in Oxfordshire, John Jackson. Mr Jackson has been commissioned by Barnet to advise as to the review of the Adults budget, with a view to identifying solutions for long term sustainability. This will inform the Transformation Plan and the forthcoming performance monitoring report.

In relation to a comment from the Committee, Mr Mass noted that the Adults and Safeguarding Committee will receive a report on performance made in 2016-17 at its January meeting. It was agreed that this report be circulated to this Committee for information. **(Action)**

Deputy CEO for Barnet Homes, Derek Rust updated the Committee about the demand for homelessness services. Mr Rust noted that households in temporary accommodation have decreased. The Committee heard that the focus will continue to be aimed at:

- anticipating demand
- early intervention and prevention of homelessness and
- assisting families at an early stage.

The Committee noted the Corporate Risk Register and Risk Management Framework as set out in the appendices J and K. The Committee also noted that the Framework can be included in the Corporate Risk Register. It was noted that following a comprehensive review of the approach to risk management, a refreshed framework has been developed to set out the different risk management levels. Risk registers have also been updated as part of the review which are monitored on a quarterly basis.

The Chairman moved a motion, which was seconded and agreed, to amend the wording of recommendation 7:

*The Committee approve the refreshed risk management framework, as detailed in Appendix K and note the Corporate Risk Register as detailed in Appendix J.*

It was therefore **RESOLVED** that:

1. **The Committee scrutinised the performance and risk 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 noted the agency costs for Quarter 2 2016/17, as detailed in paragraph 1.5.**
3. **The Committee noted the Quarter 2 2016/17 revenue budget and forecast position, as detailed in paragraph 1.8.**
4. **The Committee noted the additions and deletions (which include virements) and approved the accelerations and slippages in the capital programme, as detailed in paragraph 1.9.**
5. **The Committee noted the savings delivered in Q2 2016/17, as detailed in paragraph 1.10.**
6. **The Committee noted the treasury position outlined in paragraph 1.24.**
7. **The Committee approved the refreshed risk management framework, as detailed in Appendix K and noted the Corporate Risk Register as detailed in Appendix J.**

## **8. YEAR THREE REVIEW OF CUSTOMER AND SUPPORT GROUP (CSG) CONTRACT**

The Chairman welcomed the Year 3 CSG Contract Review report and commended the work of the Members' Working Group and the officers involved.

Following discussion, the Chairman moved to the recommendation as set out in the report. It was agreed to hold separate votes in relation to Recommendation 3b.

The votes in relation to Recommendation 3b were declared as follows:

For	6
Against	5
Abstentions	0

The votes in relation to the remaining recommendations were declared as follows:

For	11
Against	0
Abstentions	0

It was therefore **RESOLVED** that:

1. That the Committee noted the content of the report, along with the proposed service improvements and savings, as set out in the body of the report and summarised in Appendix A to this report.
2. That the Committee noted that the Chief Operating Officer is authorised under the existing Scheme of Delegation to conclude negotiations and finalise the necessary contractual arrangements to effect these changes.
3. That the Committee endorsed the following proposals, which will be taken forward through existing officer delegations:
  - a. The establishment of two dedicated ICT project support teams, as set out in paragraph 1.70 of the report; and
  - b. The revised payment arrangements for the CSG contract in 2017, as set out in paragraph 1.74 of the report.
4. That the Committee agrees that progress on the following items be considered by the Member-led CSG Working Group and the outcomes reported to the Performance and Contract Management Committee before the end of the financial year:
  - a. Revisions to the suite of Key Performance Indicators and updated list of contractual commitments, as referenced in paragraph 1.52 of the report;
  - b. The Partnership Development Strategy, as referenced in paragraph 1.55 of the report;
  - c. The Partnership Communication Strategy, as referenced in paragraph 1.63 of the report; and
  - d. Any proposals to extend the remit of the Procurement service, as set out in paragraph 1.71 of the report.
5. That the Committee notes that an implementation plan is being formulated that sets out the key milestones for the delivery of the service improvements identified in the body of the report and that progress will be reported to the Committee.
6. That the Committee agrees that the Member-led CSG Working Group should continue to meet, as required, to provide oversight for the completion of the Review.



Immediately following the vote, the Chairman of the Committee moved to refer the item to the next practicable meeting of Full Council. The reason given for the request to refer the item was the significance of the Year 3 Review of the CSG Contract which merited the attention of Full Council. The referral was supported by all Members of the Committee.

## **9. WEB IMPROVEMENT UPDATE**

The Chairman welcomed Kari Manovitch, Head of Customer Strategy & Programmes and Andy Ralphs, Head of Customer Services, Capita Local Government.

Ms Manovitch presented the report and noted the actions taken forward to improve the customer experience on the Council's website. Following a request from the Committee, Ms Manovitch acknowledged the need to distinguish complaints that are resolved as opposed to those marked as closed.

It was **RESOLVED:**

**That the Committee noted the progress being made and endorsed the continuation of work required to continuously improve the website.**

## **10. IT UPDATE**

Jenny Obee, Head of Information Management and Brett Holtom, Barnet IT Account Director, Capita joined the meeting to present the report. Ms Obee briefed the Committee about the improvements and Mr Holtom noted the improvements made to the IT Network Estate. It was noted that following a period of transition for IT, there had been further emphasis to ensure the right structure is in place to improve performance and support future IT provision.

Following discussion, Councillor Arjun Mittra moved a motion which was seconded:  
*That in relation to ITDR, the Committee receive an update report setting out details of re-compensation options.*

The votes in relation to the motion were declared as follows:

For	5
Against	6
Abstentions	0

The motion was therefore declared lost.

The Chairman moved to the recommendations as set out in the report. It was **RESOLVED:**

**That the Committee noted and commented as above on the improvements that have taken place in the IT service.**

## **11. PARKING ENFORCEMENT CONTRACT EXTENSION**

The Committee noted that in May 2016, the Environment Committee approved an extension of the Council's Parking Enforcement Contract with NSL for a period of 18 months.

Following a query from the Committee on performance data, it was noted that a service improvement plan is in place along with key performance indicators. In addition, the review of options will continue which includes the possibility of joining with other neighbouring London boroughs on procuring a new joint parking contract.

**RESOLVED:**

**That the Committee noted the enclosed report.**

**12. COMMITTEE FORWARD WORK PROGRAMME**

The Committee noted the Forward Work Programme which is a standing item on the agenda, listing the business for 2016-2017. The Committee agreed to receive an update on the Council's Enablement Contract, to consider the performance issues that had arisen, lessons learnt and measures taken.

**RESOLVED:**

**That the Committee considered and commented as above on the items included in the 2016-2017 work programme in Appendix A.**

**13. ANY OTHER ITEMS THAT THE CHAIRMAN DECIDES ARE URGENT**

None.

**14. MOTION TO EXCLUDE THE PRESS AND PUBLIC**

The Chairman moved the motion to exclude the press and public from the meeting on the grounds that the discussion will involve information relating to financial and business and by virtue of the paragraph 3 of Schedule 12A of the Localism Act 2011.

The public gallery was cleared.

**15. YEAR THREE REVIEW OF CUSTOMER AND SUPPORT GROUP (CSG) CONTRACT (EXEMPT)**

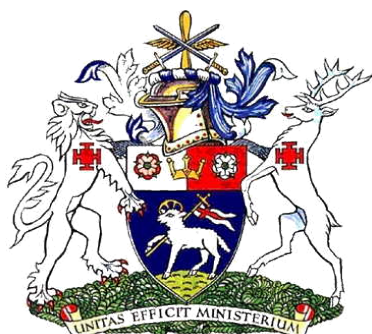
The Committee noted the information set out in the exempt appendices.

**16. ANY OTHER EXEMPT ITEMS THAT THE CHAIRMAN DECIDES ARE URGENT**

None.

The meeting finished at 9.59 pm

## AGENDA ITEM 7



## Performance and Contract Management Committee

### 5 January 2017

<b>Title</b>	<b>Proposed indicators for the Corporate Plan - 2017/18 addendum</b>
<b>Report of</b>	Chief Operating Officer
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	Appendix A: Proposed indicators for the Corporate Plan – 2017/18 addendum
<b>Officer Contact Details</b>	Jamie Masraff – Strategic Lead, Programmes and Performance, LBB <a href="mailto:jamie.masraff@barnet.gov.uk">jamie.masraff@barnet.gov.uk</a>

### Summary

This report sets out the proposed indicators for the Corporate Plan – 2017/18 addendum., which will, in turn, be considered by Policy and Resources Committee on 23 February 2017.

### Recommendations

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

## 1. WHY THIS REPORT IS NEEDED

### Background

- 1.1 The council has an established approach to budget and business planning. This year, the Policy and Resources Committee will be asked to approve the budget, Medium Term Financial Strategy (MTFS) and Corporate Plan on 23 February 2017, prior to full Council on 7 March 2017; and the Theme Committees will be asked to approve the Commissioning Plans between February and May 2017.

### Corporate Plan (Addendum)

- 1.2 The Corporate Plan 2015-2020 was agreed by full Council on 14 April 2015. It sets out the council's strategic priorities, along with the basket of indicators that will be used to monitor progress against these. Each year, the priorities and indicators are reviewed and the targets refreshed.
- 1.3 This paper presents the **proposed indicators for the Corporate Plan – 2017/18 addendum**. This includes refreshed activities (key areas of focus) and targets for 2017/18 that reflect the strategic priorities.
- 1.4 The strategic priorities have been lightly refreshed and include a new priority on delivering quality services:
- **Delivering quality services** – we strive to deliver services to the highest possible standard and to continuously improve this standard. We are committed to high quality customer service and being as transparent as possible with the information we hold and our decision-making.
  - **Responsible growth, regeneration and investment** – in an era of reduced Government funding, growth is necessary for councils to increase the local tax base and generate income to spend on public services. The council has an ambitious programme of regeneration, which aims to create new homes and jobs, and the proceeds of this growth will be reinvested in the borough's infrastructure and essential community facilities.
  - **Building resilience in residents and managing demand** – we will focus on the strengths and opportunities in our communities and target resources at those most in need. The council will support residents to stay independent for as long as possible through equipping people to help themselves and intervening early to address issues as they arise rather than waiting until they reach a critical stage.
  - **Transforming local services** – as a Commissioning Council our focus is on reaching the best outcomes for our residents whilst delivering value for money to the taxpayer. This means delivering differently and working with a range of public, private, and voluntary sector organisations to ensure we can meet our priorities.
  - **Promoting community engagement, independence and capacity** – we want to support residents and the wider community to become more independent and self-sufficient. This means residents having more of a

say in the future of their local area, and where appropriate, taking on more responsibility for local services.

- 1.5 To maintain focus on the strategic priorities, the **activities** (key areas of focus) and **indicators** for 2017/18 have been reviewed. Some activities and indicators have been realigned to the new strategic priority (delivering quality services) and other indicators have been taken out of the Corporate Plan to ensure that it remains focused on the things that matter most to the council. Most of these indicators will be retained within the Theme Committees' Commissioning Plans.
- 1.6 The overall number of indicators in the Corporate Plan has been **reduced by 17** (from 81 to 64, including the addition of 16 new Corporate Plan indicators). These are listed at the end of the paper on pages 15-20. Approximately half of the indicators will be monitored on a quarterly basis, with the remainder monitored bi-annually or annually.
- 1.7 The proposed 2017/18 targets and any revisions to 2019/20 targets are presented in 'red' text.
- 1.8 A number of indicators will be monitored in 2017/18 with no targets set. This is either to allow a baseline to be established for the first year that the indicator has been used, or where due to the nature of the indicator it is not appropriate for a target to be set.

## **Member Review**

- 1.8 Members are invited to review the proposed indicators for the Corporate Plan - 2017/18 addendum (Appendix A) and make any recommendations for changes prior to approval by the Policy and Resources Committee on 23 February 2017.

## **2 REASONS FOR RECOMMENDATIONS**

- 2.1 A key element of effective strategic and financial management is for the council to have comprehensive business plans in place that ensure there is a clear strategy for addressing future challenges, particularly in the context of continuing budget and demand pressures (resulting from demographic and legislative changes), delivering local priorities and allocating resources effectively.

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

- 3.1 There is no statutory duty to have a Corporate Plan or Commissioning Plans, but it is considered to be good practice to have comprehensive business plans in place that ensure the council's vision for the future is clearly set out and transparent.

## **4 POST DECISION IMPLEMENTATION**

- 4.1 The refreshed Corporate Plan and Commissioning Plans will be presented to the Policy and Resources Committee and Theme Committees between mid-February and May 2017. Revisions to the business plans will be communicated internally and with key stakeholders.

## **5 IMPLICATIONS OF DECISION**

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

- 5.1.1 This report invites Members to review the proposed indicators in the Corporate Plan – 2017/18 addendum.

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

- 5.2.1 In addition to continuing budget reductions, demographic change and the resulting pressure on services pose a significant challenge to the council. The organisation is facing significant budget reductions at the same time as the population is increasing, particularly in the young and very old population groups.

- 5.2.2 The Corporate Plan 2015-2020 was informed by the Budget and Medium Term Financial Strategy agreed by full Council on 3 March 2015. This included a savings target of £90.8m required by 2019/20 and a capital investment programme through to 2019/20. The Corporate Plan - 2017/18 addendum has been informed by the Medium Term Financial Strategy, savings plans and capital programme presented to Policy and Resources Committee on 1 December 2016. The MTFS sets out a budget gap of £61.5m from 2017-2020; £5m of the budget gap is due to be met from reserves in 2019/20 and there are savings proposals to mitigate £53.4m, leaving a gap of £3.2m. Options have been set out to meet this gap.

### **5.3 Social Value**

- 5.3.1 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 All proposals emerging from the business planning process must be considered in terms of the council's legal powers and obligations, including its overarching statutory duties such as the Public Sector Equality Duty.
- 5.4.2 The [Council's Constitution, in Part 15 Annex A, Responsibility for Functions, states](#) the functions of the Performance and Contract Management Committee include (amongst other responsibilities):

- 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 service, including Adults and Communities, Assurance, Barnet Homes, Cambridge Education, Commissioning Group, Customer and Support Group (CSG), HB Public Law, Family Services, Mortuaries, Parking and Infrastructure, Public Health, Regional Enterprise (Re), Registrars, Street Scene and Your Choice Barnet.
- c) Receive and scrutinise contract variations and change requests in respect of external services.
- d) To make recommendations to Policy and Resources and Theme Committees on relevant policy and commissioning implications arising from the scrutiny of performance of services.
- e) Specific responsibility for the following functions within the council: risk management; and treasury management performance.
- f) Note the Annual Report of the Barnet Group Ltd.

## **5.5 Risk Management**

- 5.5.1 The council has an established approach to risk management. Key corporate risks are assessed and reported to Performance and Contract Management Committee on a quarterly basis.

## **5.6 Equalities and Diversity**

- 5.6.1 The general duty on public bodies is set out in section 149 of the Equality Act 2010.
- 5.6.2 A public authority must, in the exercise of its functions, have due regard to the need to:
  - a) Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;
  - b) Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and
  - c) Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
- 5.6.3 Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:
  - a) Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;
  - b) Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;
  - c) Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

- 5.6.4 The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.
- 5.6.5 Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, the need to tackle prejudice; and promote understanding.
- 5.6.6 Compliance with the duties in this section may involve treating some persons more favourably than others but that is not to be taken as permitting conduct that would otherwise be prohibited by or under this Act.
- 5.6.7 The relevant protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, and sexual orientation.
- 5.6.8 It also covers marriage and civil partnership with regard to eliminating discrimination.
- 5.6.9 In agreeing the Corporate Plan, the council is setting an updated strategic equalities objective and reiterating our commitment to delivering this. The strategic equalities objective is as follows:
- Citizens will be treated equally, with understanding and respect, and will have equal access to quality services which provide value to the tax payer.

## **5.7 Consultation and Engagement**

- 5.7.1 The Corporate Plan and Commissioning Plans were informed by extensive consultation through the Budget and Business Planning report to Council (1 March 2016).
- 5.7.2 The consultation aimed to set a new approach to business planning and engagement by consulting on the combined package of the Corporate Plan, Commissioning Plans, and budget. In particular it aimed to:
- Create a stronger link between strategy, priorities and resources
  - Place a stronger emphasis on commissioning as a driver of the business planning process.
  - Focus on how the council will use its resources to achieve its Commissioning Plans.
- 5.6.3 Consultation on the budget was undertaken in Autumn 2015.

## **6 BACKGROUND PAPERS**

- 6.1 The Corporate Plan 2015-2020 is available at <https://barnet.gov.uk/citizen-home/council-and-democracy/policy-and-performance/corporate-plan-and-performance.html>



- 6.3 The service performance reports are available at <https://barnet.gov.uk/citizen-home/council-and-democracy/policy-and-performance/corporate-plan-and-performance.html>

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## DELIVERING OUR VISION – ACTIVITIES AND INDICATORS FOR 2017/18

## APPENDIX A

The tables below outline the key areas of focus across the council for 2017/18, along with the basket of indicators that will be used to monitor progress against the strategic priorities, in relation to the principles of fairness, responsibility and opportunity.

- **Delivering quality services** (Responsibility)
- **Responsible growth, regeneration and investment** (Opportunity)
- **Building resilience in residents and managing demand** (Fairness)
- **Transforming local services** (Opportunity)
- **Promoting community engagement, independence and capacity** (Responsibility)

### Key:

CPI = Corporate Plan Indicator

SPI = Commissioning Plan Indicator

MPI = Management Agreement Indicator

KPI = Contract Indicator

### Delivering quality services (Responsibility)

We strive to deliver services to the highest possible standard and to continuously improve this standard. We are committed to high quality customer service and being as transparent as possible with the information we hold and our decision-making. The following activities and indicators will monitor our progress against these commitments.

Key areas of focus	How this contributes to the Corporate Plan priorities
<b>Council tax and business rates</b>	Maximising the collection of business rates and council tax, with aspirations to be the best in London.
<b>Adult social care</b>	Introducing a strength-based approach to adult social care that focuses on identifying people's strengths, what they can do for themselves and what support they can draw upon from family, friends and local community resources to remain independent and live for longer in their own homes.
<b>Children's social care</b>	Continuing to implement the Practice Improvement Plan with a focus on building resilience through purposeful social work practice, enabled by appropriate tools and a high quality workforce.
<b>Foster care</b>	Increasing the size and effectiveness of the in-house foster care service to help a greater number of children and young people to move from residential to foster care placements, which provide support in a family environment and are less expensive for the council to provide.
<b>Education</b>	Developing a new family friendly education strategy, in partnership with schools, with a focus on maintaining excellence across the partnership of Barnet schools to ensure that all children, particularly those that are vulnerable, get a good start in life and develop resilience to achieve the very best they can.
<b>Clean and safe places</b>	Delivering services that our residents value most to a high standard, including keeping our neighbourhoods and town centres clean and safe, maintaining our parks and open spaces, ensuring that our roads and pavements are well looked after and that we are reaching the highest possible standards of air quality.

Key areas of focus	How this contributes to the Corporate Plan priorities
Highways	Progressing the Network Recovery Footway and Highway schemes.
Enforcement approach	Improving the overall approach to planning and enforcement, including taking action against breaches to planning regulations; developments that cause damage to our highways; and enviro-crime such as littering and fly-tipping.
Customer services	By 2020, resolution of issues without needing the customer to follow up will occur over 80% of the time and satisfaction with the end to end customer experience will exceed 80%.
Commitment to transparency	Continuing to develop and improve the council's Open Data Portal, which provides access to a wealth of council data and information which anyone can access online. Barnet's Open Data Portal has been recognised by the Cabinet Office and the Taxpayers Alliance as a model on best practice in transparency. Building on our ground breaking move to publish the two major contracts with Capita, the council will continue to look to publish other major contracts. We will look to go further than is required in publishing our data where feasible, building our decision to publish details of our spending down to the last penny (the government requirement is a minimum of £500).

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
Council Tax and business rates									
CPI	CG/S22	Council Tax collection	98.5%	98.3%	98.4%	98.5% (4-year target)	98.5% (4-year target)	Commissioning Group	
CPI	CG/S23	Business rate collection	99.0%	98.1%	98.2%	99.0% (4-year target)	99.0% (4-year target)	Commissioning Group	
Best practice social care									
CPI – changed from MPI	AC/S1	Percentage of people who use adult social care services satisfied with their care and support (survey) <sup>1</sup>	61%	Not reported – due Q2	61.3%	61.3% (within confidence interval)	Top 25% in England	Adults & Communities	New Corporate Plan indicator

<sup>1</sup> All indicators based on the Adult Social Care user survey are set using a 'confidence interval' that takes account of the margin of error which may result from surveying a small sample of the population.

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
CPI – changed from SPI	AC/S25	Percentage of Social Care Direct customers who are satisfied or very satisfied with the service they have received post resolution	85%	100%	91.0%	85%	85%	CSG	New Corporate Plan indicator
<b>Focus on foster care</b>									
CPI	NEW – TBC (Annual)	Percentage of children newly placed in London Borough of Barnet foster care <sup>2</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	Monitor	Monitor	Family Services	New indicator proposed by SCB
<b>Education</b>									
CPI	CES/S1	Percentage of primary schools rated as rated as 'good' or better	95%	93.2%	94.3%	95.5%	100%	Education & Skills	
CPI	CES/S3	Percentage of secondary schools rated as rated as 'good' or better	92%	88%	91.7%	95.8%	100%	Education & Skills	
CPI	CES/S18 (a)	Percentage of 16-18 year olds who are not in education, employment or training	London Top Quartile	2.4% (Q1 Target 2.5%)	2.3% (Q1 Target 2.5%)	London Top Quartile	London Top Quartile	Education & Skills	London Top quartile was 2.4% in 2015
CPI	Formerly CES/S13 (a) (Annual)	Average attainment 8 score	Top 10% in England (AY 15/16)	Not reported – provisional data Q3; final data Q4	Not reported – provisional data Q3; final data Q4	Top 10% in England (AY 16/17)	Top 10% in England for all measures (AY 18/19)	Education & Skills	New national indicator, first national benchmark data will be available in Q4 16/17
CPI	Formerly CES/S13 (b) (Annual)	Average Progress 8 score	Top 10% in England (AY 15/16)	Not reported – provisional data Q3; final data Q4	Not reported – provisional data Q3; final data Q4	Top 10% in England (AY 16/17)	Top 10% in England for all measures (AY 18/19)	Education & Skills	New national indicator, first national benchmark data will be available in Q4 16/17

<sup>2</sup> New indicator – targets set as Monitor.

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
CPI	NEW – TBC (Annual)	Attainment and progress of looked after children (measured through basket of indicators) <sup>3</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	TBC	TBC	Education & Skills	New indicator proposed by Commissioning Group
CPI	CES/S24 (Annual)	Percentage of primary pupils achieving the 'expected standard' in English Reading, English Writing and Mathematics (combined) at the end of Key Stage 2	Improve national ranking (AY 15/16)	Not reported – provisional data Q3; final data Q4	Not reported – provisional data Q3; final data Q4	Top 10% in England (AY 16/17)	Top 10% in England (AY 18/19)	Education & Skills	New national indicator, first national benchmark data will be available in Q4 16/17
<b>Parks and open spaces</b>									
CPI	SS/S1 (RPS - Biannual)	Percentage of residents who are satisfied with parks and open spaces	72%	66% (Spring 2016)	Not reported – due Q3	73% (Autumn and Spring)	75%	Street Scene	
<b>Clean and safe places</b>									
CPI	PI/S3 (RPS - Biannual)	Percentage of residents who are satisfied with parking services	30%	28% (Spring 2016)	Not reported – due Q3	30% (Autumn and Spring)	London average	Commissioning Group	London average was 33% in 14/15
CPI	SS/S6 (RPS - Biannual)	Percentage of residents who are satisfied with street cleaning	58%	59% (Spring 2016)	Not reported – due Q3	60% (Autumn and Spring)	62% - changed from London Average	Street Scene	London average was 55% in 14/15
CPI	CG/S11 (RPS - Biannual)	Percentage of residents who are satisfied with repair of roads	35%	27% (Spring 2016)	Not reported – due Q3	35% (Autumn and Spring)	London average	Commissioning Group	London average was 41% in 14/15
CPI	CG/S12 (RPS - Biannual)	Percentage of residents who are satisfied with quality of pavements	35%	33% (Spring 2016)	Not reported – due Q3	35% (Autumn and Spring)	London average	Commissioning Group	London average was 41% in 14/15
CPI	KPI 2.1-2.3 (NM)	Highways defects made safe within agreed timescales	100%	99.9%	Fail (data not available)	100%	100%	Re	

<sup>3</sup> New indicator – targets will be set after methodology agreed and baseline identified.

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
CPI	NEW - TBC	Highways service requests <sup>4</sup>	NEW FOR 2016/17	NEW FOR 2016/17	NEW FOR 2016/17	TBC	TBC	Re	New indicator proposed by SCB
CPI	NEW - TBC	Satisfaction with repairs (from door knocking surveys) <sup>5</sup>	NEW FOR 2016/17	NEW FOR 2016/17	NEW FOR 2016/17	TBC	TBC	Re	New indicator proposed by SCB
<b>Improving customer services</b>									
CPI	CG/S14 (RPS - Biannual)	Percentage of residents who are satisfied with the way the council runs things	73%	74% (Spring 2016)	Not reported – due Q3	74% (Autumn and Spring)	75%	Commissioning Group	
CPI	CG/S16 (RPS - Biannual)	Percentage of residents who are satisfied with Barnet as a place to live	90%	89.0% (Spring 2016)	Not reported – due Q3	90% (Autumn and Spring)	90%	Commissioning Group	
CPI	CG/S19 (RPS - Annual)	Percentage of residents who report that it is easy to access council services	67%	66% (Spring 2016)	Not reported – due Q2 17/18	70% (Spring only)	75%	Commissioning Group	
CPI	CG/S24	Overall satisfaction with customer services (excludes web satisfaction)	86% <sup>6</sup>	89%	90%	88%	90%	Commissioning Group (incl. CSG, Re and Barnet Homes)	
CPI	CG/S25	Satisfaction with the council's website	51%	46% (Q1 Target 45%)	48% (Q2 Target 46%)	54%	55% and Top 10% for England <sup>7</sup>	CSG / Commissioning Group	A score of 50% is likely to achieve the top 10% for England as measured by Govmetric

<sup>4</sup> New indicator – targets will be set after methodology agreed and baseline identified.

<sup>5</sup> New indicator – targets will be set after methodology agreed and baseline identified.

<sup>6</sup> Target changed from 80% to reflect new methodology, which excludes web satisfaction.

<sup>7</sup> Target will be confirmed with Capita in January 2017.

## Responsible growth, regeneration and investment (Opportunity)

In an era of reduced government funding, growth is necessary for councils to increase the local tax base and generate income to spend on public services. The council has an ambitious programme of regeneration, which aims to create new homes and jobs, and the proceeds of this growth will be reinvested in the borough's infrastructure and essential community facilities. The following activities and indicators will monitor our progress against these commitments.

Key areas of focus	How this contributes to the Corporate Plan priorities
<b>Regeneration and investment in infrastructure</b>	The building of more than 20,000 new homes by 2025 – the most in outer London – across our seven major growth and regeneration sites, in particular Colindale and Brent Cross Cricklewood, and delivering a pipeline of new homes on council land, with current plans for over 700 homes including 320 new council homes.
	Using development to fund new high quality community infrastructure, including a new library at Church End, youth zone, school and nursery places and leisure centres.
	Developing space for 30,000 new jobs, mostly at Brent Cross, and supporting the expansion of the existing shopping centre.
<b>Entrepreneurial Barnet</b>	Recognising that they are at the heart of communities, continuing our programme of investment in Barnet's town centres, focusing particularly on Burnt Oak, Finchley Church End, Golders Green and Edgware. We will also work with 'town teams' and other groups such as neighbourhood forums to ensure an attractive environment for local businesses, shoppers and residents.
	A range of programmes designed to create the conditions for a thriving local labour market so all residents, including young people and social care clients, are equipped to take advantage of the employment opportunities that growth will bring.
	Getting the basics right will ensure that businesses are treated as customers by the council, able to access information about council services easily and at first contact wherever possible, and at times that suit them, and that businesses who need to transact with regulatory services such as licencing, environmental health, planning or building control are able to do so quickly and easily.
<b>One public estate</b>	Working with central government and local agencies on public property and land issues through sharing and collaboration, we will deliver more integrated and customer focused services, reduce running costs, create economic growth (new homes and jobs) and generate capital receipts.
<b>Health estates pilot</b>	Optimising the use of health and care estate across the North Central London sub-region and identifying surplus health estate land for development and regeneration.
<b>Sport and physical activity</b>	Identifying opportunities to invest in sport and physical activity through Section 106 monies, the community investment levy and other external strategic funds (e.g. Sport England, National Lottery) to support growth, demand and regeneration. And, through the Fit and Active Barnet Partnership, widening access to and use of facilities and identifying opportunities for co-location and community hubs.



Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
<b>Regeneration and investment in infrastructure</b>									
CPI	KPI001 (A&A)	Compliance with planning application statutory timescales	75%	87.1%	83.1%	75%	75%	Re	
CPI – changed from KPI	REGEN KPI01	New Homes Completed <sup>8</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	2,313	TBC	Re	New Corporate Plan indicator (replaces Re/S11)
CPI – changed from KPI	REGEN KPI05	Delivery of affordable housing completions <sup>9</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	TBC	TBC	Re	New Corporate Plan indicator (replaces Re/S17)
CPI	CG/S6 (RPS - biannual)	Percentage of residents who list affordable housing as a concern	Monitor	41% (Spring 2016)	Not reported – due Q3	Monitor (Autumn and Spring )	London average	Commissioning Group	London average was 23% in 14/15
CPI	CG/S18 (Annual)	Percentage of respondents very or fairly satisfied with the service provided by their social housing provider (Barnet Homes)	81%	Not reported – due Q3	Not reported – due Q3	81% (TBC)	81%	Barnet Homes	
<b>Entrepreneurial Barnet</b>									
CPI	Re/S1 (Annual)	Business survival rate across the borough	4%pts more than comparable boroughs	Not reported – due Q4 16/17	Not reported – due Q4 16/17	4%pts more than comparable boroughs	5%pts more than comparable boroughs	Re	Comparable boroughs (Brent, Bromley, Harrow, Havering) average = 2.16 % points better than baseline in 15/16

<sup>8</sup> Re contract indicator – currently targets set to 2017/18 only.

<sup>9</sup> The 2016/17 target is 375 units. Target for 2017/18 will be set in February 2017.

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
CPI	Re/S3 (Annual) Re/SK3	Reduce the number of "Vacant High Street Properties" across the borough	2.5% better than comparable boroughs	6.9% (Q1 Target No higher than 7.85%)	Not reported – due Q1 17/18	2.5% better than comparable boroughs	2.5% better than comparable boroughs	Re	Comparable boroughs (Bromley, Ealing, Haringey, Lewisham, Brent and Harrow) average = 7.15% vacancy rates in 15/16
CPI	Re/S14 (Annual)	Business satisfaction with the council and area (local survey) <sup>10</sup>	TBC <sup>11</sup>	Not reported – due Q4 16/17	Not reported – due Q4 16/17	Monitor	TBC	Re	
CPI	CG/S27	Percentage of council spend (excluding direct debits) with local businesses	Monitor	49%	51%	Monitor	Monitor	Commissioning Group	
<b>One public estate</b>									
CPI – changed from SPI	CG/C25 (Annual)	Income from the estate	£2.20m (Sep 15-Aug 16)	£2.20m (Sep 15-Aug 16)	Not reported – due Q1 17/18	£3.37m	Increase	Commissioning Group - Estates	New Corporate Plan indicator

<sup>10</sup> New methodology for survey to be confirmed. Target set as Monitor for 2017/18 whilst baseline identified.

<sup>11</sup> New methodology for survey to be confirmed.

## Building resilience in residents and managing demand (Fairness)

We will focus on the strengths and opportunities in our communities and target resources at those most in need. The council will support residents to stay independent for as long as possible through equipping people to help themselves and intervening early to address issues as they arise rather than waiting until they reach a critical stage. The following activities and indicators will monitor our progress against these commitments.

Key areas of focus	How this contributes to the Corporate Plan priorities
<b>Health and social care integration</b>	Working with colleagues in the NHS to reduce the number of people who have unnecessary hospital admissions by ensuring that care is closer to home through greater provision of primary and community care and improving the experience of service users, promoting independence and enabling self-care.
<b>Independence for all adults</b>	Working with service users, families and carers to put in place early support that will help them stay independent for longer; and working with colleagues in the NHS to put services in place to self-manage conditions.
	Increasing employment rates for people with learning disabilities and people with mental health conditions by working with providers to introduce a supported employment service into the borough. This will ensure employers and individuals are matched and support is in place to help people stay in work.
<b>Specialist housing</b>	Diversifying Barnet's accommodation to ensure that it supports older people, people with learning disabilities and autism, and mental health conditions to live independently for as long as possible – through things like home adaptations, accessible housing, use of integrated technology and access to a network of local services.
<b>Resilient futures</b>	Safely reducing the rate of children in care through targeted and specialist interventions that build resilience, including the development of an adolescent hub for those on the edge of care and increasing the use of local fostering placements.
<b>Building resilience for vulnerable young people</b>	Developing a specialist team to work with a specific cohort of vulnerable young people to build their resilience, including those who are at risk of serious youth violence, sexual exploitation, missing and homeless.
<b>Preventing homelessness</b>	Alongside our programmes to build and acquire new homes, tackling the rising demand for help with housing through work to prevent homelessness and reducing the number of people in temporary accommodation.
<b>Recycling and waste minimisation</b>	Developing a strategy for achieving a 50% recycling rate by 2020. Recycling is less expensive for the council than disposing of waste allowing resource to be deployed elsewhere.
<b>Supporting people into work</b>	A new approach to place based commissioning and targeting resources to areas of greatest need through proactive work with longer-term unemployed to help them help themselves. This approach is delivering results with nearly 200 people supported into work in the first year.
	Implementing welfare reform - for every £1 invested in the service will return £3 to the public sector through reduced welfare spend. Last year, we engaged with 96% of Barnet residents affected by the Benefit Cap and helped 35% into work.

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
<b>Health and social care integration</b>									
CPI	AC/S9 ASCOF2A (2)	Permanent admissions to residential and nursing care homes, per 100,000 population age 65+	530	75.6 (Q1 Target 122.5)	169.7 (Q2 target 192.7)	500	Top 10% of comparable boroughs	Adults & Communities	Top 10% comparable boroughs was 265.9 in 2015/16
CPI	AC/C14	Permanent admissions to residential and nursing care homes, per 100,000 population age 18-64	16.6	1.3 (Q1 Target 1.4)	5.1 (Q2 Target 5.4)	15.0	Top 10% in the country	Adults & Communities	Top 10% in the country was 4.98 in 2015/16
CPI	NEW - AC/C16	Number of referrals to hospital social work teams <sup>12</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	Monitor	TBC	Adults & Communities	New indicator proposed by service
CPI	NEW - TBC	Working age adults who have moved out of residential care into stable accommodation <sup>13</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	Monitor	TBC	Adults & Communities	New indicator proposed by Commissioning Group
<b>Independence for all adults</b>									
CPI – changed from SPI	AC/C17	Percentage of contacts that result in a care package	Monitor	19% (reported outturn), 21% (new definition)	18.8%	Monitor	Monitor	Adults & Communities	New Corporate Plan indicator
CPI	NEW - TBC	Support in the community <sup>14</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	Monitor	TBC	Commissioning Group	New indicator proposed by Commissioning Group
CPI	AC/S3 (ASCOF 1G)	Percentage of adults with learning disabilities who live-in their own home or with their family	63%	64.2%	65.9%	65%	England average	Commissioning Group/ Adults & Communities	England average was 75.96% in 2015/16

<sup>12</sup> New indicator – target set as Monitor for 2017/18 whilst baseline identified.

<sup>13</sup> New indicator – target set as Monitor for 2017/18 whilst baseline identified.

<sup>14</sup> New indicator – target set as Monitor for 2017/18 whilst baseline identified.

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
CPI	AC/S4 (ASCOF 1E)	Percentage of adults with learning disabilities in paid employment	10.8%	9.3% (Q1 Target 9.6%)	9.4% (Q2 Target 9.9%)	10.8%	Top 10% in England	Commissioning Group/ Adults & Communities	Top 10% in the country was 11.68% in 2015/16
CPI	AC/S5 (ASCOF 1F)	Percentage of adults with mental health needs in paid employment	7.2%	7.23% (Q1 Target 7.2%)	5.8% (Q2 Target 6.2%)	7.5%	Top 25% of comparable boroughs	Commissioning Group/ Adults & Communities	Top 25% comparable boroughs was 8.23% in 2015/16
CPI	AC/S6 (ASCOF 1H)	Percentage of adults with mental health needs who live independently, with or without support	83%	81.6% (Q1 Target 81.5%)	83.2% (Q2 Target 82%)	83%	Top 25% of comparable boroughs	Commissioning Group/ Adults & Communities	Top 25% comparable boroughs was 79.53% in 2015/16
CPI	AC/S10 (ASCOF 1B)	Percentage of people who feel in control of their own lives (survey) <sup>15</sup>	69% (within confidence interval)	Not reported – due Q2	69.4%	70% (within confidence interval)	Top 25% in England	Adults & Communities	Top 25% in the country was 79.5% in 2015/16
CPI	AC/S15 (ASCOF 4A)	Percentage of people who use services who say those services make them feel safe and secure (survey) <sup>13</sup>	80.1% (within confidence interval)	Not reported – due Q2	79.6%	79.6% (within confidence interval)	Maintain performance	Adults & Communities	
CPI	AC/S29	Number of instances of information, advice and guidance provided to carers <sup>16</sup>	3000	758 (Q1 Target TBC)	1649 (Q2 Target 1500)	3300	TBC	Adults & Communities	
<b>Resilient futures</b>									
CPI	NEW - TBC	Ratio of children subject to: CAF:CiN:CP:LAC (per 10,000) <sup>17</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	Monitor – and seek to reduce LAC and increase CAF	Monitor – and seek to reduce LAC and increase CAF	Family Services	New indicator proposed by service
<b>Build resilience for vulnerable young people</b>									

<sup>15</sup> All indicators based on the Adult Social Care user survey are set using a 'confidence interval' that takes account of the margin of error which may result from surveying a small sample of the population.

<sup>16</sup> Methodology for indicator is likely to change by 2019/20, so target will be confirmed then.

<sup>17</sup> CAF = Common Assessment Framework; CiN = Children in Need; CP = Child Protection; LAC = Looked After Children

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
CPI	FS/S15	Percentage of care leavers age 19 – 21 in education, employment or training	55% Above our statistical neighbours	62.6%	58.7%	<b>Above statistical neighbours</b> (NB changing to include 18 YOs)	<b>Top 10% in England</b>	Family Services	
<b>Preventing homelessness</b>									
CPI	BH/S2	Number of homelessness preventions	900	233 (Q1 Target 225)	450 (Q2 Target 450)	<b>900 (TBC)</b>	900 (TBC)	Barnet Homes	
CPI	BH/C4	Numbers of households in Temporary Accommodation	2700	2934 (Q1 Target 2925)	2887 (Q2 Target 2875)	<b>2500</b>	Monitor	Barnet Homes	
CPI	NEW - TBC	Number of new acceptances to Temporary Accommodation that are families with children <sup>18</sup>	NEW FOR 2017/18	NEW FOR 2017/18	NEW FOR 2017/18	<b>Monitor</b>	<b>TBC</b>	Barnet Homes or Commissioning Group	New indicator proposed by SCB
CPI	EH021	Compliance with licensing requirements for Houses in Multiple Occupation	60%	74.9%	68.7%	<b>60%</b>	90%	Re	
<b>Recycling and waste minimisation</b>									
CPI	SS/S3	Percentage of household waste sent for reuse, recycling and composting	42%	33.2% (Q4 15/16) (Q4 Target 40%)	39.43% (Q1 16/17) (Q1 Target 43.7%)	<b>42%</b>	50%	Street Scene	
CPI	SS/S4 (RPS - Biannual)	Percentage of residents who are satisfied with refuse and recycling services	80%	75% (Spring 2016)	Not reported – due Q1 17/18	<b>82%</b> (Autumn and Spring)	85%	Street Scene	London average was 69% for refuse and 66% for recycling in 14/15
<b>Supporting people into work</b>									

<sup>18</sup> New indicator – target set as Monitor for 2017/18 whilst baseline identified.

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
CPI	CG/S1 (Quarter)	Unemployment (of people on out of work benefits)	Monitor	5.8% (Jan 2015 – Dec 2015)	5.6% (Apr 2015 - Mar 2016)	<b>Monitor</b>	Monitor	Commissioning Group	

## Transforming local services (Opportunity)

As a Commissioning Council our focus is on reaching the best outcomes for our residents whilst delivering value for money to the taxpayer. This means delivering differently and working with a range of public, private, and voluntary sector organisations to ensure we can meet our priorities. The following activities and indicators will monitor our progress against these commitments.

Key areas of focus	How this contributes to the Corporate Plan priorities
<b>Family Services Strategy for Change</b>	Exploring opportunities to develop a social work-led, not-for-profit organisation to provide some services for children and young people.
<b>Health visiting and CAMHS</b>	Re-commissioning health visiting to be more integrated with other early years' provision and jointly re-commissioning CAMHS with the CCGs to focus the service on resilience building and earlier intervention and prevention.
<b>Libraries</b>	Implementing the new model of library provision to retain all 14 library sites, as well as the home, mobile and school library services, whilst delivering savings. This will be achieved through reducing staffed hours and introducing Self-Service Opening, which will increase the total overall opening hours at 10 library sites. Library sizes will be reduced to release space for commercial letting and four libraries will become community-run – utilising the capacity of local community groups, volunteers and the voluntary sector.
<b>Street services ADM</b>	Delivering the outcomes of the Street Services ADM project.
<b>Digital by default</b>	By 2020, the majority of customer interaction with the council will be via the web and other self-service channels, which will be quicker and more convenient. My Account will enable customers to take control of their transactions with the council across a wide range of services and receive transparent and proactive updates on progress on their cases until they are resolved. We'll ensure that those who are unable to access services digitally are still supported.

## Promoting community engagement, independence and capacity (Responsibility)

We want to support residents and the wider community to become more independent and self-sufficient. This means residents having more of a say in the future of their local area, and where appropriate, taking on more responsibility for local services. The following activities and indicators will monitor our progress against these commitments.

Key areas of focus	How this contributes to the Corporate Plan priorities
<b>Family friendly Barnet</b>	Working with partners to make Barnet the most family friendly borough to ensure a great start in life for every child and prepare young people well for adulthood.
<b>Building family resilience</b>	Working with families, schools and the community, we will build resilience so that families are able to help themselves and stop problems from escalating.
<b>Safer communities</b>	Working with partners to provide a safe environment for residents and ensuring residents feel able to report incidents through increased confidence in the council being able to help
<b>Community participation</b>	Embedding the community participation strategy, including developing an interactive database that shows the support provided by voluntary organisations across the borough; and a comprehensive volunteering brokerage service that puts residents and council staff interested in volunteering in touch with local opportunities.
<b>Community assets</b>	Embedding the community assets strategy, including investing in four community hubs, which will work with co-located community groups to drive commissioning priorities and improve their interaction with council services.

Ref	Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
<b>Family friendly Barnet</b>								
CPI	FS/S7	Percentage of free entitlement early years places taken up by parents/ carers that are eligible for a place	63% (London average)	Not reported – due Q3 and Q4	Not reported – due Q3 and Q4	70%	85%	Family Services
CPI	NEW – TBC (RPS – Annual)	Percentage of residents who agree that Barnet is a family friendly borough place to live	NEW FOR 2017/18	86% (Spring 2016)	Not reported – due Q2 17/18	87%	89%	Commissioning Group
<b>Safer communities</b>								



Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
CPI	CG/S3	Level of crime across the Mayor's Office for Policing And Crime set of crimes (burglary, vandalism, criminal damage, theft of / from motor vehicle, violence with injury, robbery, and theft from the person)	20% reduction	17.5% reduction	18% reduction	20% reduction	20% reduction	Commissioning Group	
CPI	CG/S4 (RPS - Annual)	Public confidence in police and council in dealing with anti-social behaviour and crime issues that matter in their area	68%	66% (Spring 2016)	Not reported – due Q2 17/18	68% (Spring Only)	68%	Commissioning Group	
<b>Community participation</b>									
CPI	CG/S5 (RPS - Annual)	Percentage of residents who report feeling they belong to their neighbourhood	74%	Not reported – due Q3 16/17	Not reported – due Q3 16/17	75% (Autumn Only)	77%	Commissioning Group	
CPI	CG/S9 (RPS - Annual)	Percentage of residents that volunteer at least once a month	29%	23% (Spring 2016)	Not reported – due Q2 17/18	29% (Spring Only)	35%	Commissioning Group	
CPI	CG/S10 (RPS - Annual)	Percentage of residents who agree that people pull together to help improve their area	53%	52.0% (Spring 2016)	Not reported – due Q2 17/18	54% (Spring Only)	56%	Commissioning Group	

## INDICATORS TAKEN OUT OF CORPORATE PLAN

### Delivering quality services (Responsibility)

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
BPI – changed from CPI	CG/S15	Performance of services	80% above average	82%	78%	80% above average	80% above average	Commissioning Group	Taken out Corporate Plan. Retained in Commissioning Group Business Plan
DELETE – changed from CPI	FS/S6	Percentage of children in London Borough of Barnet foster care	42.5% (133/311)	44.9% (Q1 Target 40%)	44.5% (Q2 Target 41.8%)	DELETE INDICATOR	53% (166/311)	Family Services	Alternative indicator proposed by SCB
SPI – changed from CPI	CES/S25	Percentage attendance levels at primary schools	London Average	96.2%	Not reported	London Average	London Top quartile	Education & Skills	Taken out Corporate Plan. Retained in CELS Commissioning Plan
SPI – changed from CPI	Replaces CES/S15 (Annual)	Average Attainment 8 score of looked-after children	National average (AY 15/16)	Not reported – provisional data Q3; final data Q4	Not reported – provisional data Q3; final data Q4	National average (AY 16/17)	National average (AY 18/19)	Education & Skills	Replaced in Corporate Plan by new indicator on attainment and progress of looked after children. Retained in CELS Commissioning Plan
SPI – changed from CPI	Replaces CES/S16 (Annual)	Average Progress 8 score of looked-after children	National average (AY 15/16)	Not reported – provisional data Q3; final data Q4	Not reported – provisional data Q3; final data Q4	National average (AY 16/17)	National average (AY 18/19)	Education & Skills	Replaced in Corporate Plan by new indicator on attainment and progress of looked after children. Retained in CELS Commissioning Plan

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
SPI – changed from CPI	Formerly CES/S11(a) (Annual)	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	Improve national ranking (AY 15/16)	Not reported – provisional data Q3; final data Q4	Not reported – provisional data Q3; final data Q4	Top 10% in England (AY 16/17)	Top 10% in England (AY 18/19)	Education & Skills	Taken out Corporate Plan. Retained in CELS Commissioning Plan
SPI - changed from CPI	SS/S7 (Biannual)	Percentage of unacceptable levels of litter	3%	Not reported – due Q2	1.00%	TBC	3%	Street Scene	Taken out Corporate Plan
SPI - changed from CPI	SS/S8 (Biannual)	Percentage of unacceptable levels of detritus	9%	Not reported – due Q2	2.83%	TBC	8%	Street Scene	Taken out Corporate Plan
BPI – changed from CPI	CG/S26	Customer cases that are closed within the agreed timescales	90%	89%	84%	90%	90%	Commissioning Group (incl. CSG, Re and Street Scene)	Taken out Corporate Plan. Retained in Commissioning Group Business Plan

### Responsible growth, regeneration and investment (Opportunity)

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
DELETED – changed from CPI	Re/S11 (Annual)	Number of new homes provided in Barnet each year (net)	1,203	Not reported – annual	Not reported – annual	DELETE INDICATOR	10,840 (cumulative)	Re	Replaced in Corporate Plan by REGEN KPI01new homes completed

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
DELETED – changed from CPI	Re/S12 (Annual)	Total number of new homes created through regeneration schemes	462	Not reported – annual	Not reported – annual	DELETE INDICATOR	5,457	Re	Taken out Corporate Plan
DELETED – changed from CPI	Re/S13 (Annual)	Number of affordable homes created through regeneration schemes	169	Not reported – annual	Not reported – annual	DELETE INDICATOR	1,795	Re	Taken out Corporate Plan
DELETED – changed from CPI	Re/S17 (Annual)	Percentage of New Build homes that are affordable	40%	Not reported – annual	Not reported – annual	DELETE INDICATOR	40%	Re	Replaced in Corporate Plan by REGEN KPI05 delivery of affordable housing completions
SPI – changed from CPI	BH/S4	Current arrears as a percentage of debit	3%	3.31% (Q1 Target 3.67%)	3.3% (Q2 Target 3.6%)	TBC	Top 25%	Barnet Homes	Taken out Corporate Plan. Retained in Housing Commissioning Plan
SPI – changed from CPI	BH/S5	Temporary Accommodation arrears as a percentage of debit	4.95%	5.26% (Q1 Target 4.95%)	5.70% (Q2 Target 5.20%)	TBC	4.6%	Barnet Homes	
DELETED – changed from CPI	PH/S7	Physical activity participation	59%	58.5% (Q4 15/16) (Q4 Target 54%)	59.5% (Q1 16/17) (Q1 Target 59%)	DELETE INDICATOR	60%	Public Health	Taken out Corporate Plan

## Building resilience in residents and managing demand (Fairness)

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
SPI – changed from CPI	AC/S8	Percentage of new clients, older people accessing enablement	63%	59.7%	53.2%	65%	70%	Adults & Communities	Taken out Corporate Plan. Retained in Adults Commissioning Plan
DELETE – changed from CPI	FS/S4	Number of referrals to social care (per 10,000 of the under-18 population)	Monitor	370	377.8	DELETE INDICATOR	Monitor	Family Services	Replaced in Corporate Plan by ratio of children subject to: CAF:CaN:CP:LAC
DELETE – changed from CPI	FS/S16	Number of children in care per 10,000	Monitor	35.7	36.4	DELETE INDICATOR	31.4	Family Services	Replaced in Corporate Plan by ratio of children subject to: CAF:CaN:CP:LAC
SPI – changed from CPI	EH01B	Compliance with Environmental Health Service Standards (Priority 1)	100%	100%	100%	100%	100%	Re	Taken out Corporate Plan. Retained in Environment Commissioning Plan

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
KPI – changed from CPI	Re/S2 (Annual)	Youth unemployment	1%pt better than comparable boroughs	Not reported – under review	Not reported – under review	<b>1%pt better than comparable boroughs</b>	2%pts better than comparable boroughs	Re	Taken out Corporate Plan. Retained in Re contract
SPI – changed from CPI	BH/C2 (LY: BH/C6)	Households placed directly into the private sector by Barnet Homes	500	158 (Q1 Target 125)	318 (Q2 Target 250)	<b>500</b>	500	Barnet Homes	Taken out Corporate Plan. Retained in Housing Commissioning Plan
DELETE – changed from CPI	PH/S4	Rate of hospital admissions related to alcohol	400 per 100,000	424.9 (Q4 15/16) (Q4 Target 458.76)	424.9 (Q1 16/17) (Q1 Target 400)	<b>DELETE INDICATOR</b>	380 per 100,000	Public Health	Taken out Corporate Plan

### Transforming local services (Opportunity)

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
DELETE – changed from CPI	FS/S1	Number of children made subject to Child Protection Plans	Monitor	79	143	<b>DELETE INDICATOR</b>	Monitor	Family Services	Replaced in Corporate Plan by ratio of children subject to: CAF:CaN:CP:LAC
MPI – changed from CPI	FS/S3	Number of children subject to Child Protection Plans for two or more years	Perform in line with statistical neighbours (currently 3.31%)	7 (Q1 Target Monitor)	7 (Q2 Target Monitor)	<b>Monitor</b>	Perform in line with statistical neighbours	Family Services	Taken out Corporate Plan. Retained in Family Services Management Agreement

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
SPI – changed from CPI	PH/S2	Excess weight in 4-5 year olds (overweight or obese)	21%	19.9% (Q4 15/16) (Q4 Target 21%)	19.9% (Q1 16/17) (Q1 Target 21%)	21%	21%	Public Health	Taken out Corporate Plan. Retained in Public Health Commissioning Plan
SPI – changed from CPI	PH/S3	Excess weight in 10-11 year olds (overweight or obese)	32%	32.6% (Q4 15/16) (Q4 Target 36.7%)	32.6% (Q1 16/17) (Q1 Target 32%)	32.6%	32.6% - changed from 30%	Public Health	Taken out Corporate Plan. Retained in Public Health Commissioning Plan
DELETE – changed from CPI	PH/S5	Smoking Prevalence	13%	13.2% (Q4 15/16) (Q4 Target 15.0%)	14.6% (Q1 15/16) (Q1 Target 13%)	DELETE INDICATOR	12%	Public Health	Taken out Corporate Plan

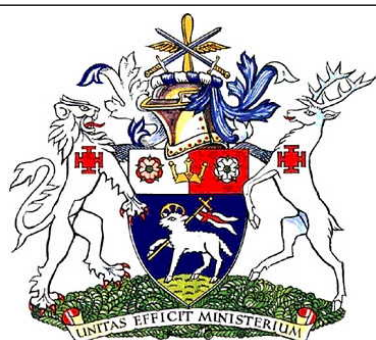
### Promoting community engagement, independence and capacity (Responsibility)

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
DELETE – changed from CPI	NEW (Annual)	Percentage of young people in care who know about the Corporate Parenting Pledge	TBC	Not reported - annual	Not reported - annual	DELETE INDICATOR	TBC	Family Services	Replaced in Corporate Plan by percentage of children in care participating in own statutory reviews
SPI – changed from CPI	FS/S2	Children made subject to Child Protection Plan for a second or subsequent time	Perform in line with statistical neighbours (currently 15.6%)	15.7%	15.8%	Perform better than statistical neighbours (Q2 16/17 17.6%)	Perform in line with statistical neighbours	Family Services	Taken out Corporate Plan. Retained in CELS Commissioning Plan

Ref		Indicator	2016/17 Target	2016/17 Q1 Result	2016/17 Q2 Result	2017/18 Target	2019/20 Target	Service	Comment
SPI – changed from CPI	FS/S5	Number of children adopted	10	3 (Q1 Target Monitor)	3 (Q2 Target Monitor)	<b>13</b>	<b>18 – changed from 20</b>	Family Services	Taken out Corporate Plan. Retained in CELS Commissioning Plan
SPI – changed from CPI	FS/S8	Percentage of the target groups that are registered with the children centre within the area it serves	65%	79.2%	88%	<b>65%</b>	65%	Family Services	Taken out Corporate Plan. Retained in CELS Commissioning Plan
SPI – changed from CPI	FS/S18	Proportion of care leavers age 19 – 21 in suitable accommodation	90%	96.5%	96.2%	<b>90%</b>	Top 10% in England (currently 95%)	Family Services	Taken out Corporate Plan. Retained in CELS Commissioning Plan



AGENDA ITEM 8



## Performance and Contract Management Committee

5 January 2016

<b>Title</b>	<b>Risk Management Framework</b>
<b>Report of</b>	Interim Chief Operating Officer
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	Appendix A – Risk Management Framework
<b>Officer Contact Details</b>	Jamie Masraff – Strategic Lead, Programmes and Performance, LBB <a href="mailto:jamie.masraff@barnet.gov.uk">jamie.masraff@barnet.gov.uk</a>

### Summary

This report presents the council's updated Risk Management Framework for the Committee to discuss, following its approval of the Framework at its November meeting. The Framework sets out the detail of the council's approach, embedding important tenets and implementing findings from the 2016 internal audit report. It includes the risk management process; the various levels of risk registers; criteria for assessing risk; the respective roles of officers, senior managers, members and partners; and how the arrangements apply to commissioned services, programmes and projects.

This report highlights the main elements in the risk management process, and the Committee's oversight role in relation to risk management.

### Recommendations

1. That the Committee notes and comments on the Risk Management Framework.

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

- 1.1 Following the recent review of Barnet's approach to risk management, an updated Risk Management Framework has been developed. This was approved by the Committee at its meeting on 15<sup>th</sup> November 2016, where Members requested that it be brought back for further discussion at this meeting.
- 1.2 The Framework identifies the steps that are carried out in managing a risk, including:
  - Identification
  - Assessment
  - Response
  - Monitoring
  - Reporting, and
  - Escalation.
- 1.3 Risk assessment involves scoring a risk using criteria included in the Framework. This consists of scoring the likelihood of it occurring from one to five, and the same for its impact, with an overall score calculated by multiplying the two together (for a maximum of 25). A decision is then taken on how best to respond (i.e. treat, terminate, tolerate or transfer the risk). If treating it, controls and/or mitigations should be put in place.
- 1.4 Monitoring is carried out on a regular basis by the risk owner, and at a minimum of once per quarter, as part of the council's overall quarterly performance monitoring arrangements.
- 1.5 Any risks scored as 12 or above will be escalated for review by Strategic Commissioning Board, where additional actions or resources may be agreed to further mitigate or control the risk in the future.
- 1.6 The Framework also identifies the key role of this Committee in overseeing the new arrangements, in recognition of its specific responsibility for risk management (outlined in its Terms of Reference). This role includes:
  - Approving the Risk Management Framework and ensuring it is aligned to council policy
  - Overseeing and challenging the effectiveness of the organisation's approach to risk management, and
  - Ensuring action taken to manage strategic risks/opportunities is adequate and effective.
- 1.7 The Committee additionally reviews the Corporate Risk Register each quarter, as part of the Performance Monitoring Report. This consists of the council's Strategic Risk Register, and any service risks scored as 15 or above.

## **2. REASONS FOR RECOMMENDATIONS**

- 2.1 The report is for noting, following earlier approval of the Framework by the Committee.

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

- 3.1 As the Framework has been approved by the Committee, no alternative options have been considered.

## **4. POST DECISION IMPLEMENTATION**

- 4.1 The Framework has been implemented following the Committee's approval.

## **5. IMPLICATIONS OF DECISION**

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

- 5.1.1 The overarching aims of the Framework are to improve the organisation's ability to deliver its strategic objectives by managing risk, creating a risk culture that adds value to operational activities; and achieving sustained benefit across the portfolio of activities.

- 5.1.2 The Framework supports the organisation's strategic objectives, based on the core principles of fairness, responsibility and opportunity, to make sure Barnet is a place:

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

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

- 5.2.1 The Risk Management Framework seeks to ensure that risks of all types are adequately managed by the organisation (and, where relevant, jointly with its partners). These include risks to business continuity, compliance, finance, health and safety, information management, and staffing and culture.

- 5.2.2 The role of risk champions has been augmented to facilitate this more effectively. These roles have been allocated to appropriate officers within Delivery Units, and are therefore being discharged within existing resources.

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

- 5.4 Performance and Contract Management Committee have specific responsibility for risk management.

## **5.5 Risk Management**

5.5.1 This is the driver for the Framework, and is covered in detail throughout this report and the Framework at Appendix A.

## **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, and
- 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-to-day business and keep them under review in decision making, the design of policies and the delivery of services.

5.6.3 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.

5.6.4 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.

5.6.5 The Risk Management Framework will help to ensure that the council meets the duty. Where there is a risk that it will not, this should be identified, e.g. as a compliance risk.

## **5.7 Consultation and Engagement**

5.7.1 The Risk Management Framework is a management tool which has been developed internally (with input from commissioned risk specialists from PricewaterhouseCoopers).

## **6. BACKGROUND PAPERS**

- 6.1 Performance and Contract Management Committee, 15 November 2016 (Decision Item 7) – approved Risk Management Framework  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=693&MId=8796&Ver=4>

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# **Risk Management Framework**

**V2**  
**October 2016**

## Document control

Description	Risk Management Framework	
Version	V2	
Created	September 2016	
Status	Final	
Authorisation	Name	Date
Prepared by	Head of Performance and Risk	September 2016
Checked by	Strategic Lead for Programmes and Performance	October 2016
Cleared by	Strategic Commissioning Board	11 October 2016
Approved by	Performance and Contract Management Committee	15 November 2016



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## 1. Introduction

The risk management framework sets out the **principles and approach to managing risk** in Barnet Council, including the process of identifying, assessing and controlling risk.

### What is risk?

Risk is defined as an **uncertain event** that, should it occur, will have an impact on the organisation's ability to achieve its objectives. A risk is measured by the likelihood of a perceived threat or opportunity occurring and the magnitude of its impact on the organisation's objectives.

### What is risk management?

All organisations, including temporary ones such as projects, will experience uncertain events when trying to achieve their objectives. Risk management is a visible way of managing these risks in a structured, consistent and timely way that supports effective decision-making.

### Why is risk management important?

Risk management plays an important role in planning and setting objectives, assessing the adequacy of internal controls and monitoring performance – essentially, helping the organisation to manage the business. Risk management is a key part of corporate processes, such as:

- Strategic and financial planning
- Service design and delivery
- Policy making and review
- Project management
- Performance management
- Information Management
- Change management/transformation
- Business continuity planning.

And, when fully embedded, risk management is likely to:

- Improve performance against objectives and delivery of outcomes
- Improve the identification of threats and opportunities
- Improve governance, stakeholder confidence and trust
- Establish a reliable basis for decision-making and planning
- Effectively allocate and use resources for risk treatment
- Improve organisational resilience.

The risk management framework has been approved by the Performance and Contract Management Committee; and is reviewed on an annual basis by the Strategic Commissioning Board and Performance and Contract Management Committee to ensure it remains aligned with best practice and evolves with the organisation (see Section 9: Annual review and quality assurance).

## 2. Executive summary

This section provides a summary of the **risk management process** and outlines the **key roles and responsibilities** in ensuring that this process is managed effectively.

### **Risk management process** (see Section 6)

The risk management process is a series of logical steps that are carried out in sequence to progress through each stage of managing a risk:

1. Risk identification
2. Risk assessment
3. Risk response
4. Risk monitoring, reporting and escalation
5. Risk appetite
6. Communication and consultation

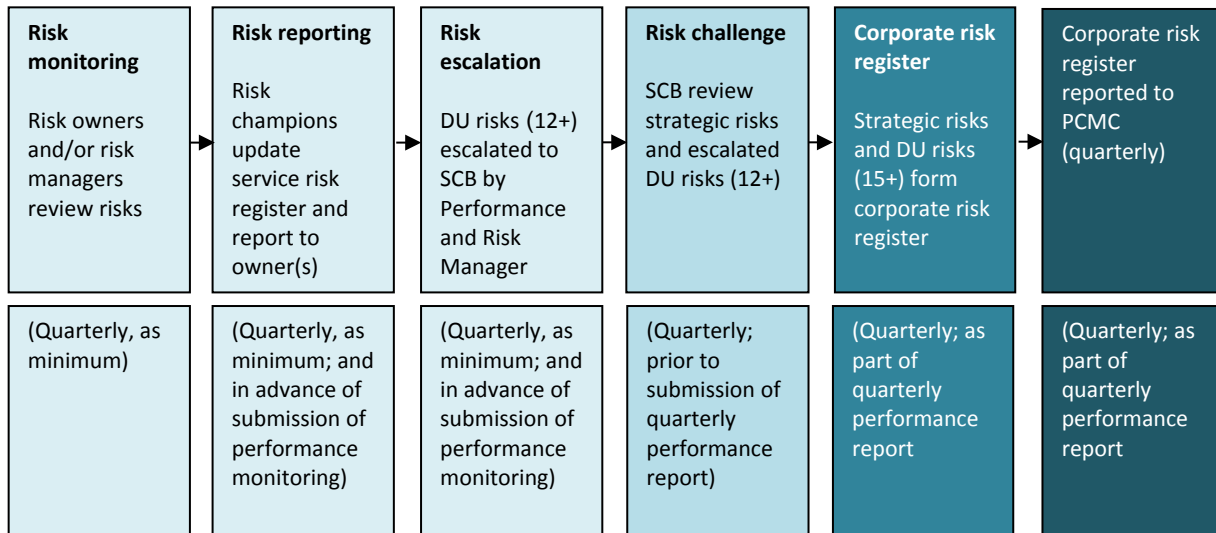
**1. Risk identification** - When a risk is identified, a description should be provided on the **cause, event and consequence**. This should be written in a clear and concise way that is meaningful to all stakeholders, including members and the public, and should not contain any sensitive or commercial information (see Section 4: Understanding risk). For service risk registers, the risk should be raised with the relevant risk champion who should ensure that it is discussed with the risk register owner(s) at an appropriate senior-level meeting. If the risk is agreed by the register owner(s), the risk champion should add it to the relevant **risk register**. The risk should be assigned a risk owner (the senior officer); where appropriate, a risk manager (the most appropriate officer to manage the risk); and a category e.g. business continuity or financial.

For risk registers below service level, the risk register owner will decide on newly identified risks. Project risk registers are coordinated by the project manager.

**2. Risk assessment** - The risk owner should assess the **likelihood** and **impact** of the risk occurring. The combination of the two scores should produce the risk score and risk rating (low, medium/low, medium/high or high). See Section 6: Risk management process.

**3. Risk response** - A decision should be taken on how best to respond to the risk e.g. treat, terminate, tolerate or transfer. If treating the risk, **controls and/or mitigations** should be put in place. See Section 6: Risk management process.

#### 4. Risk monitoring, reporting and escalation



**Risk monitoring** - The **risk owner** is responsible for all aspects of the risk, including ensuring appropriate controls and/or mitigations are in place; and should monitor the risk on a regular basis (quarterly, as a minimum). The risk owner should **review** the controls and/or mitigations in place to determine if they are still effective and follow-up on any actions that have been proposed to help reduce the likelihood of the risk occurring. The likelihood and impact scores should be re-assessed and the combined risk score re-calculated for the residual risk.

**Risk reporting** - The **risk champions** should play a key role in risk monitoring and reporting. They should liaise with the risk owners and/or risk managers of their respective service risk registers to ensure risks are regularly monitored (quarterly, as a minimum) and should keep the risk register up-to-date. They should pull together reports for an appropriate senior-level meeting to present the updated risk register (quarterly, as a minimum) and provide a level of challenge on the risk information provided. This role should be carried out in accordance with the risk monitoring timetable provided by the Performance and Risk Team. (Project risks are reported to project boards by exception, through regular highlight reports.)

**Risk escalation** - Any risks from lower-level registers that **score 12 or above** should be escalated to the service risk register by the risk champion. The service register owner(s) should discuss the effectiveness of the controls and/or mitigations in place and review any actions being taken to further reduce the likelihood of the risk occurring. They might propose additional actions or assign resources to help mitigate the risk in the future. The risk champion is responsible for communicating any additional actions back to the risk owner and/or risk manager (or project manager if appropriate), and ensuring these are recorded on the lower-level register. The risk champion will also forward a copy of the service risk register, including the escalated risks, to the Commissioning Director (if not the risk register owner).

Following review by the service risk register owner(s), risk champions should highlight any **service risks that score 12 or above** to the Performance and Risk Manager and these should be escalated to the Strategic Commissioning Board for review each quarter. As above, the effectiveness of the controls and/or mitigations in place and actions being taken to further reduce the likelihood of the risk occurring should be discussed; and any additional actions may be proposed or resources

assigned to help mitigate the risk in the future (which should be communicated back to the risk champion by the Performance and Risk Manager).

After Strategic Commissioning Board has met, the strategic risk register and any service risks that score 15 and above should be combined to form the **corporate risk register**. This should be reported to Delivery Unit Board, Strategic Commissioning Board and Performance and Contract Management Committee, as part of the Performance Monitoring Report, each quarter (see [Appendix C: Quarterly reporting timetable](#)).

**5. Risk appetite** - This is the level of residual risk the organisation is prepared to tolerate before action is considered necessary to reduce it. This has been set at a combined likelihood and impact score of 15. By setting a risk appetite, officers should be guided on the level of risk tolerated and assurance should be given that a consistent approach to managing risk has been applied across the organisation.

**6. Communication and consultation** - This should take place throughout the risk management process with relevant officers in the Delivery Unit and the Performance and Risk Team.

#### Key roles and responsibilities (see [Appendix A](#))

There are four key roles in relation to the risk management process that ensure the process is managed effectively. These are the risk owner, risk manager, risk champion and Performance and Risk Manager.

Officer	Roles and responsibilities
Risk Owner	<ul style="list-style-type: none"> <li>Responsible for individual risks</li> <li>The senior officer for the area of work that the risk relates to</li> <li>Management of the risk may be delegated to a risk manager(s) (if delegated, accountability for the risk is retained by the risk owner)</li> <li>Assess the risk and assign it a score for likelihood and impact</li> <li>Review risks regularly</li> </ul>
Risk Manager	<ul style="list-style-type: none"> <li>Manages the controls and/or mitigations in place</li> <li>Supports the risk owner in monitoring and reporting risks (this function may be delegated by the risk owner to the risk manager but the risk owner retains accountability for the risk)</li> </ul>
Risk Register Owner	<ul style="list-style-type: none"> <li>Reviews newly identified risks, proposed risk scores, controls, mitigations and actions in discussion with risk owners and makes final decision on register</li> <li>Where necessary, proposes additional actions and assigns resources to help mitigate or control the risk in the future</li> </ul>
Risk Champion	<ul style="list-style-type: none"> <li>Advise officers within the Delivery Unit on the application of risk management framework, including risk identification; risk assessment; monitoring, reporting and escalation</li> <li>Maintain their respective service risk register by collating information on new and updated risks through discussions with risk owners</li> <li>Attend relevant senior level meetings to present updates on their risk register, and to challenge senior management on the information on risks and delivery of actions</li> <li>Ensure risks are reviewed and risk registers are up-to-date ahead of quarterly reporting (in accordance with timetable)</li> </ul>

Officer	Roles and responsibilities
Performance and Risk Manager (Performance and Risk Team)	<ul style="list-style-type: none"> <li>• Implement the organisation's performance and risk management frameworks and build performance and risk management capability across the organisation</li> <li>• Provide assurance that the strategic objectives are being delivered through effective performance and risk management arrangements</li> <li>• Advise senior managers on performance and risk management arrangements and provide support to the Head of Performance and Risk in annually reviewing the performance and risk management frameworks</li> <li>• Responsible for corporate monitoring and challenge of performance and risk data, including the co-production and monitoring of improvement plans where necessary</li> </ul>

## 2. Aims and objectives

The overarching aims of the risk management framework are to **improve the organisation's ability to deliver its strategic objectives by managing risk**; creating a risk culture that adds value to operational activities; and achieving sustained benefit across the portfolio of activities.

The risk management framework supports the organisation's strategic objectives, based on the core principles of fairness, responsibility and opportunity, to make sure Barnet is a place:

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

The framework should help to ensure risk management is embedded throughout the organisation and involves all key stakeholders, including officers, senior managers, members and partners, by:

- Enabling the organisation to anticipate and respond to emerging risk, including from a changing operating environment
- Implementing a consistent approach to managing risk
- Ensuring risks are regularly monitored and actions to mitigate risk are effective
- Ensuring high-level risks are reviewed by the Performance and Contract Management Committee; and risk management arrangements are reviewed by the Audit Committee on a quarterly basis
- Providing oversight, challenge and assurance that risk is being effectively managed across the organisation
- Focusing effort on developing a risk aware culture and aligning resources to carry out effective risk management.

The mechanics of risk management are not to simply identify risks but to implement effective controls to mitigate those risks. The risk management approach is built around **clear ownership of risks** and the identification of nominated risk managers to implement and maintain the controls, followed up by a monitoring and reporting process to ensure that those risk managers take **responsibility for the actions** agreed.

Primarily, the Strategic Commissioning Board and members should focus on the **strategic and business critical risks** that could impact on the achievement of objectives or successful delivery of outcomes; and Delivery Units/Service Providers should focus on **service risks** - whereby risks should be managed locally and escalated to the strategic level only if they become significant.

The framework is intended to support an active learning culture in which officers can learn from, and respond positively to, events as well as recognise and take advantage of opportunities. The organisation has a dedicated **Performance and Risk Team**, as part of the Commissioning Group, to ensure that this culture is embedded.

The **Performance and Risk Team** is responsible for managing the organisation's approach to risk management. The team provides support, guidance, advice and tools for enabling the organisation to manage risk. As part of this, training and development should be provided to ensure roles and responsibilities are properly understood and risk management is embedded into processes and culture through awareness raising, challenge and promoting best practice.



### 3. Understanding risk

#### What is and isn't a risk?

A risk is an **uncertain event** that, should it occur, will have an impact on the organisation's ability to achieve its objectives. **It is not an unplanned event that has already occurred**, or will definitely happen, which is certain to affect the achievement of objectives - this is an issue.

#### How is risk described?

A risk is described by using the following three criteria – cause(s), event(s) and consequence(s).

- **Cause(s)** are the conditions, circumstances, drivers or activities that may result in the risk event occurring. They are the sources of the risk event or the reason why the risk could happen. A cause can be internal or external to the organisation.
- **Event(s)** are the actions, incidents or occurrences that arise from a cause that could have an effect on the achievement of objectives. Risk events can happen internally e.g. to people, processes or systems and externally.
- **Consequence(s)** are the possible consequences arising from the risk event that affect the achievement of objectives. The effects can be measured through estimating the impact on, for example, strategic/operational objectives, finances and reputation.

#### Who is the risk owner / risk manager?

The risk owner has responsibility for the risk in question. This should be the **senior officer** for the area of work that the risk relates to. Management of the risk may be delegated to a risk manager(s) who should be responsible for managing the controls and/or mitigations in place. [Note that if this function is delegated, the risk owner retains accountability for the risk]. The risk owner is required to assess the risk and assign it a score for likelihood and impact (see [Section 6: Risk management process](#)).

#### What if a risk owner / risk manager leaves?

If a risk owner or risk manager leaves the organisation, a new risk owner or risk manager should be identified and the risk register updated by the relevant risk champion. It is the responsibility of the owner(s) of the risk register (often the relevant Commissioning Director and Delivery Unit Director) to ensure that the new risk owner is aware of his/her responsibilities in relation to the risk. It is the responsibility of the risk owner to ensure that the new risk manager is aware of his/her responsibilities for managing the risk, in relation to the controls and/or mitigations and any additional actions in place to reduce the likelihood of the risk occurring in the future.

A periodic review of risk owners (to check they are still employed by the organisation) should be undertaken by the Performance and Risk Team, as part of the annual review of the risk management framework (see [Section 9: Annual review and quality assurance](#)).

## 5. Risk management levels

The organisation's approach to risk management is founded upon ensuring **risk is effectively and consistently managed across all levels of the organisation**. The risk culture that emanates from the strategic leadership team throughout the organisation is essential in ensuring all levels buy into and adhere to the corporate risk process. The levels are:

- **Corporate:** the **corporate risk register** is a combined register consisting of the strategic risk register and escalated risks (15 and above) from the service risk registers. It should be reported to Performance and Contract Management Committee for scrutiny and challenge on a quarterly basis, as part of the Performance Monitoring Report.
- **Strategic:** the strategic and business critical risks are identified on the **strategic risk register**, which should be reviewed by the Strategic Commissioning Board on a quarterly basis alongside the escalated service risks. This should involve challenging the risk scores, seeking assurance on the effectiveness of controls and/or mitigations in place and recommending additional actions to reduce the likelihood of the risk occurring in the future. This level should set the tone for effective risk management across the whole organisation.
- **Service:** risks against delivery of contracts (**joint risks**) or management agreements are identified on **service risk registers**, which should be reviewed by Senior Management Teams on a quarterly basis (as a minimum). [Note that this level should include commissioning risks associated with the service; and joint risk registers with commissioned organisations e.g. Barnet Group, CSG and Re]. This level should be the key lever for the escalation of risks through to a strategic level when they become significant (12 and above).
- **Team:** risks arising from local operations are identified on **team risk registers** (i.e. any level below service risk registers, other than projects), which should be reviewed by Team Managers on a quarterly basis (as a minimum). Risks should be escalated to service risk registers when they become significant (12 and above).
- **Projects:** risks to projects are identified in the initial business case stage and added to **project risk registers**. Risks should be reviewed throughout the project lifecycle to ensure objectives can be achieved and reported on an exception basis to the relevant Project Board. Risk that score 12 and above should be escalated to the Senior Management Team meeting for review (quarterly, as a minimum)

## 6. Risk management process

The risk management process is a **series of logical steps that are carried out in sequence to progress through each stage of managing a risk**. The process is cyclical and it may be necessary to revisit earlier steps and carry them out again to ensure a complete picture of the risks in relation to the activity/outcome have been captured. The activity 'communication and consultation' deliberately stands alone as the findings of other steps may need to be communicated at any time in the process.

**Fig. 1 Risk management process**



### 1. Risk identification

Risk identification should be carried out, at a minimum, on an annual basis when objectives are set for the following year, as part of the **business planning cycle**. Risks can also be identified through inspections and audits or through business as usual activities throughout the year.

Any new risk that could impact on the achievement of an activity, objective or outcome should be identified and a description provided on the **cause, event and consequence**. This should be written in a clear and concise way that is meaningful to all stakeholders, including members and the public, and should not contain any sensitive or commercial information (see [Section 4: Understanding risk](#)). A service-level risk should be raised with the relevant risk champion who should ensure that it is discussed at the appropriate senior level meeting (for lower level registers, these should be raised with the risk register owner, and for projects, with the project manager). If the risk is accepted, the risk champion should add it to the relevant **risk register**. The risk should be assigned a risk owner (the senior officer for that area of work) and, if relevant, a risk manager (the most appropriate officer to manage the risk); and the nature of risk e.g.

- Business continuity (i.e. risk of disruption to service or conduct of council business)
- Compliance (i.e. risk of breach of statutory guidance or duty)
- Finance (i.e. risk of financial loss or non-delivery of a saving)
- Health and safety (i.e. risk of injury)

- Information governance (i.e. risk of sensitive or personal data not being adequately controlled)
- Staffing and culture (i.e. risk to staffing level, morale, competence or training).

The risk owner is required to assess the risk and assign it a score for likelihood and impact. The combination of the two scores should produce the risk score and risk rating (low, medium/low, medium/high or high).

## 2. Risk assessment

Risk assessment is the process of assessing the **likelihood** and **impact** of a risk occurring. Risks are assessed on three levels:

- **Inherent (worst case)** - assessment based on the assumption that controls and mitigations currently in place do not exist. This assessment determines the reasonably foreseeable worst case scenario for the risk, which is the most adverse set of plausible circumstances and consequences for the risk described if no controls or mitigations are in place.
- **Residual (current)** - assessment based on how the risk is currently being managed. It considers how well the controls and/or mitigations currently in place are working.
- **Target (where you can get to)** - determination of the desired likelihood and impact levels for the risk, based on the amount of exposure the organisation is comfortable in accepting for the benefits it derives from taking the risk, and the feasibility and cost of further treatment activities. It is the position that the risk will get to once the planned additional controls and/or mitigations have been put in place.

To ensure consistency in assessment and the ability to compare and report on the various levels of risk, the organisation has adopted a **5x5 risk matrix** to assess the likelihood and impact of the risk occurring. The risk matrix is used to evaluate the risks, so that there is an understanding of the risk exposure faced, which in turn influences the level of risk treatment that is applied to manage, reduce or prevent the risk from occurring.

A risk is broken down into likelihood and impact:

- **Likelihood** represents the statistical chance of an event taking place. This can be rare, unlikely, moderate, likely or almost certain
- **Impact** represents the expected disruption to the organisation. This is summarised as negligible, minor, moderate, major or catastrophic

**Fig. 2 Risk matrix**

IMPACT	Score:		LIKELIHOOD				
			1	2	3	4	5
			Rare	Unlikely	Possible	Likely	Almost Certain
	5	Catastrophic	5	10	15	20	25
	4	Major	4	8	12	16	20
	3	Moderate	3	6	9	12	15
	2	Minor	2	4	6	8	10
	1	Negligible	1	2	3	4	5

The resultant scores from the matrix are assigned ratings (see Fig. 3). [Note that the distinction between an acceptable and unacceptable risk is a guide and will depend on the exact risk and the ability of the organisation to add further controls].

**Fig. 3 Risk ratings**

<b>1-3 Low</b>	Acceptable risk No further action or additional controls or mitigations required
<b>4-6 Medium /Low</b>	A risk at this level may be acceptable Maintain existing controls if any, no further action or additional controls or mitigations required
<b>8-12 Medium / High</b>	Not normally acceptable Efforts should be made to reduce the risk, provided this is not disproportionate Determine the need for improved control or mitigation measures
<b>15-25 High</b>	Unacceptable Immediate action must be taken to manage the risk A number of additional control or mitigation measures may be required

Further guidance on how to determine the appropriate score for both likelihood and impact can be found in [Appendix B: Risk assessment criteria](#). [Note that impact is assessed in different ways depending on the nature of risk]. Ensuring that all risks are assessed using the risk assessment criteria should drive consistency through the risk management framework and enable risks to be compared and reported on against a like for like basis. It also provides the organisation with the ability to map its collective risk exposure of a particular activity, objective, outcome, function(s) or indeed whole operation.

### 3. Risk response

Following identification and assessment, a decision should be taken on how best to respond to the risk (see **'The 4Ts'** below) and, if accepted, treatment measures should be determined to manage the risk.

- **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.

If treating the risk, **controls and/or mitigations** should be put in place:

- **Controls** are activities and measures that have a specific and significant effect on reducing the **likelihood** of a risk
- **Mitigations** are activities and measures that have a specific and significant effect on reducing the **impact** of a risk, should it occur.

#### 4. Risk monitoring, reporting and escalation

##### Risk monitoring

The risk owner is responsible for all aspects of the risk, including ensuring appropriate controls and/or mitigations are in place to manage the risk. All risks should be monitored on a regular basis (quarterly, as a minimum). This requires the risk owner to **review the controls and/or mitigations in place** to determine if they are still effective and follow-up on any actions that have been proposed to help reduce the likelihood of the risk occurring. **Monitoring can be delegated to the risk manager(s) but responsibility is retained by the risk owner.** The likelihood and impact scores should be re-assessed and the combined risk score re-calculated for the residual risk. If additional actions can be carried out to reduce the likelihood of the risk occurring still, then these should be assigned to an officer and a date for completion agreed. The risk owner should then decide if the target risk score can be reduced further.

Questions to consider as part of risk monitoring and review:

- Is the risk still relevant?
- Are the controls and/or mitigations in place effective?
- Have the actions proposed to reduce the likelihood of the risk been implemented?
- If so, has this reduced the likelihood score?
- Has anything occurred that might change the likelihood or impact score?
- Is the risk score increasing or decreasing?
- If the risk is increasing, can further action be taken to reduce the likelihood of the risk occurring?
- If the risk is decreasing, can any of controls and/or mitigations be relaxed?

##### Risk reporting

Risk registers should be reviewed on a regular basis (quarterly, as a minimum) by the risk register owners in a relevant forum, e.g. team meeting (lower level registers), Project Board (project registers), Senior Management Team (service registers) or Strategic Commissioning Board (the strategic register) (see Section: 5. Risk management levels).

The **risk champions** should play a key role in risk monitoring and reporting of service risk registers. They should liaise with the risk owners and/or risk managers in their respective Delivery Units to ensure risks are regularly monitored (quarterly, as a minimum) and should keep the service risk register up-to-date. They should pull together reports for the relevant senior-level meetings to present the updated risk register to its owner(s) (quarterly, as a minimum) and provide a level of

challenge on the risk information provided. This role should be carried out in accordance with the **risk monitoring timetable**. (Note that project risks are reported by project managers to project boards by exception, through regular highlight reports. This process does not require risk champion involvement.)

### **Risk escalation**

Any risks that **score 12 or above** should be escalated to the next risk management level (see Section 5: Risk management levels) by the risk champion. The forum where the risk register is being considered should discuss the effectiveness of the controls and/or mitigations in place and review any actions being taken to further reduce the likelihood of the risk occurring. They might propose additional actions or assign resources to help mitigate the risk in the future. The risk champion is responsible for communicating any additional actions back to the risk owner and/or risk manager, as well as the owner of the lower level risk register; and forwarding a copy of the service risk register, including the escalated risks, to the Commissioning Director (if not the risk register owner). If the risk owner or risk manager has a particular view on how the risk might be better controlled in the future e.g. extra resources, information should be provided, along with any associated resource implications, when the risk is escalated.

The risk champions should highlight any **service risks that score 12 or above** to the Performance and Risk Manager and these should be escalated to the Strategic Commissioning Board for review each quarter. As above, the effectiveness of the controls and/or mitigations in place and actions being taken to further reduce the likelihood of the risk occurring should be discussed; and any additional actions may be proposed or resources assigned to help mitigate the risk in the future (which should be communicated back to the risk champion by the Performance and Risk Manager).

After Strategic Commissioning Board has met, the strategic risk register and any service risks that score 15 and above should be combined to form the **corporate risk register**. This should be reported to Delivery Unit Board, Strategic Commissioning Board and Performance and Contract Management Committee, as part of the Performance Monitoring Report, each quarter (see Appendix C: Quarterly reporting timetable).

**Fig. 4 Service risk monitoring, reporting and escalation**

Wk 1	Wk 2	Wk 3	Wk 4	Wk 5	Wk 6	Wk 7	Wk 8	Wk 9	Wk 10	Wk 11
<b>Risk monitoring</b>	<b>Risk reporting</b>	<b>Risk escalation</b>	<b>Risk challenge</b>	<b>Corporate risk register</b>	<b>Performance &amp; risk challenge</b>	<b>Publication</b>				<b>Performance &amp; risk scrutiny</b>
Review risks  <i>Risk owners and/or risk managers</i>	Update service risk register and report to owner(s)  <i>Risk champions</i>	Highlight service risks (12+) to P&R Team  <i>Risk Champions</i>  Escalate service risks (12+) to SCB  <i>Performance &amp; Risk Manager</i>	Review strategic risks and escalated service risks (12+) and propose additional actions  <i>SCB</i>	Combine strategic risks and service risks (15+) into corporate risk register  <i>Performance &amp; Risk Manager</i>  Submit to Executive Team for DUB and SCB  <i>Head of Performance &amp; Risk</i>	Review performance monitoring report  <i>DUB and SCB</i>  Send performance monitoring report for clearance  <i>Head of Performance &amp; Risk</i>	Submit Review performance monitoring report to Governance Team for publication  <i>Head of Performance &amp; Risk</i>				Scrutinise performance monitoring report  <i>PCMC</i>

**Fig. 5 Extract of risk register for reporting**

Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Response Option
					Impact	Likelihood	Impact	Likelihood	Risk Score	

Where additional assurance is required on the controls and/or mitigations in place, the Strategic Commissioning Board may request a **‘deep dive’** of that risk. In this instance, the risk owner would be expected to work with the Performance and Risk Team to undertake an in-depth review of the risk, including the controls and/or mitigations in place and any best practice management, and report back to the Strategic Commissioning Board the following quarter.

Any risk event that results in the organisation suffering a major impact (score = 4) is defined as “serious”. If a **serious risk event** occurs, a review of the causes that led to the event and impact should be undertaken by the Performance and Risk Team and reported back to the Strategic Commissioning Board. Relevant senior managers and directors would be required to demonstrate to the Strategic Commissioning Board and Performance and Contract Management Committee what controls and/or mitigations had been in place and why these failed; how these can be strengthened going forward and any additional actions that can be taken to minimise the likelihood of the risk recurring.

#### 4. Risk appetite

This is the level of residual risk the organisation is prepared to tolerate before action is considered necessary to reduce it. This has been set at a combined likelihood and impact score of 15. By setting a risk appetite, officers should be guided on the level of risk tolerated and assurance



should be given that a consistent approach to managing risk has been applied across the organisation.

#### **5. Communication and consultation**

Communication and consultation should take place throughout the risk management process with relevant officers in the Delivery Unit and the Performance and Risk Team.

## 7. Commissioned services

The organisation has a responsibility when managing commissioning relationships (e.g. commercial partnerships or shared services) to ensure that **arrangements are in place for effective risk management** and provide assurance that risk are identified and managed appropriately. The purpose of risk management in the commissioning context should be as follows:

- Ensure the identification of risks associated with a commissioned service, including delivery risks, joint risks and retained risks
- Support clear allocation of responsibilities for owning, managing and monitoring risks
- Agree the risk appetite for management of risks amongst all partners
- Align the response to identified risks with strategic priorities
- Provide a framework for information sharing regarding risks management
- Distinguish the level and type of risk to the organisation and to the delivery of the commissioning arrangement.

At the earliest stage of the commission consideration should be given to existing risks associated with the delivery of the service. It is expected that an integral part of the commissioning exercise would be to establish clear arrangements on how the council and the commissioned organisation should document, monitor and manage risk; and that the commissioning arrangement should include a requirement that the commissioned organisation maintains a minimum standard of risk management procedures, proportionate to the size of the contract.

### Transferred risks and contractual obligations

One of the benefits of commissioning services is the ability to transfer risks to the commissioned organisation; however, the council may retain exposure to some risks. The transference of risk should be agreed as part of the commissioning process and stipulated, as appropriate, in the contract. This means that ownership of the risk and controls and/or mitigations become the responsibility of the commissioned organisation.

The risk management obligations of the commissioned organisation should be written up in a template contract extract. Particular consideration should be given to the obligation of the commissioned organisation for updating and managing risks should a process change, and for periodically providing risk registers to the relevant Performance Monitoring Manager in the Commercial Team when the contract is subject to annual review. The Commercial Team is expected to share these with the Performance and Risk Team upon request.

### Retained and joint risks

As part of a commissioning exercise and/or any new arrangement, risks for the council should be considered and assessed; these could be new commercial risks, retained risks and/or joint risks, where both parties have a role in managing the risk. Retained and joint risks are defined below:

- **Retained risk** – a risk that could impact the council were it to occur, and where only the council, and not the contracted party, is responsible for implementing the controls and/or mitigations needed to manage the risk

- **Joint risk** – a risk that could impact the council were it to occur, and where the contracted party is responsible for implementing some or all of the controls and/or mitigations needed to manage the risk

Any retained or joint risks (risks shared between parties) should be identified and recorded on either the Commissioning Group risk register (retained risks) or a **joint risk register** with the commissioned organisation e.g. Barnet Group, CSG and Re. Therefore, all retained risks or joint risks are recorded on a service risk register, and not at any lower level.

For **joint risks**, a decision should be made on which party is best placed to manage the risk and a risk owner/risk manager assigned. The risk should be assessed for likelihood and impact and the risk response agreed, including controls and/or mitigations in place and any additional actions that would help to reduce the likelihood of the risk occurring in the future. The council should remain accountable for any joint risks.

### **New joint risks**

If any new joint risks are identified over the course of the commissioned service, this should be raised with the relevant risk champion and discussed at appropriate senior level meetings by the joint register owners. If agreed, the risk should be added to the joint risk register and assessed as set out in Section 6: Risk management process.

### **Monitoring and reporting joint risks**

All parties should work together to effectively manage joint risks. The joint risk registers should be reviewed by the risk register owners at least every quarter, prompted by the relevant risk champion and adhere to the reporting requirements as set out in Section 6: Risk management process.

## 8. Projects

This guidance should be used in conjunction with the [Project Management Toolkit](#).

### What are project risks?

Project risks are risks that affect the intended outputs or benefits of a project.

Project risks should be identified in the initial stages of a new project. Risks should be assessed as set out in [Section 6: Risk management process](#) and added to the **project risk register**. This should be signed-off by the relevant Board and included in project documentation. The project tolerances and escalation process should be clearly documented within the Project Initiation Document. The **Project Manager** is responsible for maintaining the project risk register for each of the projects that they manage.

### How are project risks reported?

Project risks should be reported to the Project Board on an **exception basis** via the project highlight report. The highlight report should typically include:

- The effectiveness of controls and/or mitigations in place and any additional actions that could be put in place to help reduce the likelihood of the risk occurring
- Any changes to risk ratings (the Direction of Travel)
- Any new risks identified

As with other risk registers, risks scoring 12 or above should be escalated to the **service risk register**. However, a Project Board may ask the service risk register owner to consider and feedback on other risks as well, e.g. lower scoring risks that are likely to be common across a number of projects, that are likely to be dependencies for other projects, or that affect the overall objectives of the project.

## 9. Annual review and quality assurance

To ensure the risk management framework remains fit for purpose, the organisation should undertake an annual review and refresh, where relevant. This should consider industry best practice; ongoing business management needs; and pick up on any recommendations arising from internal audits. Any changes should be approved by the Strategic Commissioning Board and Performance and Contract Management Committee.

### **Assurances on the effectiveness of key controls**

The annual programme of internal audit work dedicates resources to test the key controls specified within the risk registers noted to mitigate the level of risk the organisation is exposed to. Internal audit should test both the design of the controls and effectiveness of these controls. Reports should be issued to management that note, where appropriate, action required if there are any deficiencies noted within the internal control environment. It is management that should be primarily responsible for the internal control environment and the effectiveness of it; where internal audit make recommendations management should have due regard to those recommendations in order to prevent fraud and/or error. In addition, external audit should base their plan on the key risks of the organisation and this independent source of assurance should be noted within the risk registers where relevant.

### **Annual Governance Statement**

The organisation should produce an Annual Governance Statement every year, which assesses the governance system in place and the sources of assurance obtained during the year, internal and external. The risk management framework should provide assurance to the Strategic Commissioning Board and members that risks are being properly managed.

### **Periodic review of risk owners**

A periodic review of risk owners (to check they are still employed by the organisation) should be undertaken by the Performance and Risk Team, as part of the annual review of the risk management framework.

## Appendix A - Roles and responsibilities

All officers, senior managers, members and partners should proactively engage with risk management and the potential impact of risks on achieving objectives. It should be everyone's job to identify risks and report them to their manager. Managers at all levels should be responsible for the collation and management of risks within their service area, using the relevant risk register template.

Within the organisation, officers and groups have responsibility for different aspects of the risk management framework. Some of these are defined by the Terms of Reference set out in the Constitution (identified in *italics* below).

Officer	Roles and responsibilities
Chief Executive	<ul style="list-style-type: none"> <li>Oversee delivery of the risk management framework</li> <li>Review progress of the management of strategic risks in the strategic risk register</li> <li>Ensure consideration of risk in agreeing the organisation's direction of travel</li> </ul>
Commissioning Directors	<ul style="list-style-type: none"> <li>Manage strategic risks associated with their specific areas of responsibility, including any that cross business, service or directorate boundaries</li> <li>Escalate risks, as appropriate, for consideration by the Strategic Commissioning Board</li> <li>Undertake an annual risk review and refresh as part of the business and budget planning cycle, ensuring that any new risks that could impact on the achievement of objectives are captured and old risks are removed</li> <li>As required, as a part of their delegated authority, manage the risks associated with their budget allocation and business plan</li> <li>Seek assurance that a risk aware culture is appropriately embedded in their directorate</li> <li>Ensure arrangements are in place for partnership and contract activities where risks are shared, so that risks are identified; joint risk registers are in place; and risks are managed and regularly monitored</li> </ul>
Delivery Unit Directors	<ul style="list-style-type: none"> <li>Manage operational risks associated with their specific areas of responsibility</li> <li>Appoint a risk champion to drive forward the risk management framework within their function</li> <li>Escalate risks, as appropriate, for consideration by the Strategic Commissioning Board</li> <li>Undertake an annual risk review and refresh as part of the business and budget planning cycle, ensuring that any new risks that could impact on the achievement of objectives are captured and old risks are removed</li> <li>As required, as a part of their delegated authority, manage the risks associated with their budget allocation and business plan</li> <li>Seek assurance that a risk aware culture is appropriately embedded in their directorate</li> <li>Ensure a risk register is in place for projects and review these at least monthly</li> <li>Ensure officers have an appropriate understanding of risk management and encourage them to identify risks for inclusion on the risk register</li> </ul>

Officer	Roles and responsibilities
Commissioning Group Senior Responsible Officers (SROs)	<ul style="list-style-type: none"> <li>• Manage retained and joint risks in the service area they commission, in accordance with the risk management framework</li> <li>• Ensure officers working within external or shared service have an appropriate understanding of risk management</li> <li>• Champion the benefits of risk management across their service area and communicate the organisation's approach to managing risk</li> </ul>
Performance and Risk Manager (Performance and Risk Team)	<ul style="list-style-type: none"> <li>• Implement the organisation's performance and risk management frameworks and build performance and risk management capability across the organisation</li> <li>• Provide assurance that the strategic objectives are being delivered through effective performance and risk management arrangements</li> <li>• Advise senior managers on performance and risk management arrangements and provide support to the Head of Performance and Risk in annually reviewing the performance and risk management frameworks</li> <li>• Responsible for corporate monitoring and challenge of performance and risk data, including the co-production and monitoring of improvement plans where necessary</li> </ul>
Performance Monitoring Manager (Commercial Team)	<ul style="list-style-type: none"> <li>• Support the management of joint risks with external service providers</li> <li>• Ensure joint risks are reviewed and risk registers updated on a quarterly basis</li> <li>• Escalate risks, as appropriate, for consideration by the Strategic Commissioning Board</li> <li>• Undertake an annual risk review and refresh as part of the business and budget planning cycle, ensuring that any new risks that could impact on the achievement of objectives are captured and old risks are removed</li> </ul>
Risk Register Owner	<ul style="list-style-type: none"> <li>• Reviews newly identified risks, proposed risk scores, controls, mitigations and actions in discussion with risk owners and makes final decision on register</li> <li>• Where necessary, proposes additional actions and assigns resources to help mitigate or control the risk in the future</li> </ul>
Risk Owner	<ul style="list-style-type: none"> <li>• Accountable for ensuring that individual risks are managed appropriately and the impact should the risk event occur</li> <li>• The senior officer for the area of work that the risk relates to</li> <li>• Management of the risk may be delegated to a risk manager(s) (if delegated, accountability for the risk is retained by the risk owner)</li> <li>• Assess the risk and assign it a score for likelihood and impact</li> <li>• Review risks regularly</li> </ul>
Risk Manager	<ul style="list-style-type: none"> <li>• Manages the controls and/or mitigations in place</li> <li>• Supports the risk owner in monitoring and reporting risks (this function may be delegated by the risk owner to the risk manager but the risk owner retains accountability for the risk)</li> </ul>
Risk Champions	<ul style="list-style-type: none"> <li>• Advise officers within the Delivery Unit on the application of risk management framework, including risk identification; risk assessment; monitoring, reporting and escalation (for joint risks, this will also involve advising external providers)</li> <li>• Maintain their respective service risk register by collating information on new and updated risks through discussions with risk owners</li> <li>• Attend relevant senior level meetings to present updates on their risk register, and to challenge senior management on the information on risks and delivery of actions</li> <li>• Ensure risks are reviewed and risk registers are up-to-date ahead of quarterly reporting (in accordance with timetable provided by Performance and Risk Team)</li> </ul>

Officer	Roles and responsibilities
Project Managers	<ul style="list-style-type: none"> <li>• Identify project risks</li> <li>• Support the management of project risks</li> <li>• Ensure project risks are reviewed and risk registers updated on a regular basis</li> <li>• Report project risks to the relevant Board on an exception basis</li> <li>• Escalate risks, as appropriate, to the appropriate Delivery Unit through liaison with the service risk champion</li> </ul>
All Officers	<ul style="list-style-type: none"> <li>• Identify new risks to the appropriate risk champion and/or manager</li> <li>• Escalate any risks that are not being sufficiently managed to the appropriate risk champion</li> </ul>

Group	Roles and responsibilities
Audit Committee	As stated in the Committee's Terms of Reference: <i>"The purpose of an audit committee is to provide independent assurance of the adequacy of the risk management framework and the associated control environment, independent scrutiny of the authority's financial and non-financial performance to the extent that it affects the authority's exposure to risk and weakens the control environment, and to oversee the financial reporting process."</i>
Performance and Contract Management Committee	<p>The Committee's Terms of Reference include specific responsibility for risk management. The Committee is responsible for:</p> <ul style="list-style-type: none"> <li>• Approving the risk management framework and ensuring it is aligned to council policy</li> <li>• Overseeing and challenging the effectiveness of the organisation's approach to risk management</li> <li>• Ensuring action taken to manage strategic risks/ opportunities is adequate and effective</li> </ul>
Strategic Commissioning Board	<ul style="list-style-type: none"> <li>• Accountable for ensuring risks are managed effectively across the organisation and for maintaining a robust risk management framework, ensuring it is effective and embedded in the business</li> <li>• Determine the risk appetite and prioritise strategic risks/ opportunities</li> <li>• Establish a control environment and culture where risk can be effectively assessed and managed</li> <li>• Review the strategic risk register and escalated risks from Delivery Units on a quarterly basis, along with any associated risk reports</li> <li>• Ensure risk is appropriately considered in all key decisions submitted to the Board for approval</li> <li>• Review the quarterly performance monitoring report, including high-level service risks escalated to the corporate risk register</li> </ul>
Delivery Unit Board	<ul style="list-style-type: none"> <li>• Focus on the collective delivery of outcomes across the organisation's major internal and external delivery partners</li> <li>• Provide scrutiny, oversight and challenge to the activities of the Delivery Units to ensure that outcomes are achieved in a collaborative manner</li> <li>• Ensure risks are managed effectively across the organisation and that a risk aware culture is appropriately embedded</li> <li>• Ensure risk is appropriately considered in all key decisions submitted to the Board for approval</li> <li>• Review the quarterly performance monitoring report, including high-level service risks escalated to the corporate risk register</li> </ul>



Group	Roles and responsibilities
Project Board	<ul style="list-style-type: none"> <li>• Review project risks</li> <li>• Ensure appropriate controls and/or mitigations in place for managing project risks</li> <li>• Escalate project risks to the relevant Project Board, as appropriate</li> </ul>
Internal Audit	<ul style="list-style-type: none"> <li>• Deliver the annual audit plan, reviewing controls within the organisation using a risk-based approach. For each review a report should be issued giving a level of assurance and/or making any recommendations for improvement</li> <li>• Present reports in summary format to Audit Committee on an exception basis for those reports issued with limited or no assurance</li> <li>• Review the adequacy of risk management arrangements on an annual basis</li> <li>• Issue an annual opinion on internal controls for inclusion within the Annual Internal Audit Opinion.</li> </ul>
Risk Network	<ul style="list-style-type: none"> <li>• Internal forum for risk champions, co-ordinated by the Performance and Risk Team</li> <li>• Advice on risk management approach and process for monitoring and reporting risks, including escalation/de-escalation</li> <li>• Ensure risks are reviewed and risk registers are up-to-date ahead of quarterly reporting</li> <li>• Provide guidance on best practice risk management</li> <li>• Provide a forum for discussion and challenge on risk scoring, ensuring consistency across the organisation</li> <li>• Support the annual risk review and refresh of the risk management framework</li> </ul>

## Appendix B – Risk assessment criteria

The criterion below is used for measuring the likelihood of a risk occurring within the next five years.

Likelihood score	1	2	3	4	5
Descriptor	Rare	Unlikely	Possible	Likely	Almost Certain
Percentage	≤10%	11-25%	26-50%	51-90%	>90%
Frequency (How often might it happen)	This will probably never happen/recur in the next 5 years	Do not expect it to happen or recur but it is possible it may do so in the next 5 years	Might happen or recur occasionally in the next 5 years	Will probably happen/recur in the next 5 years but it is not a persisting issue	Will undoubtedly happen/recur, in the next 5 years, possibly frequently

The criterion below is used for measuring the impact of a risk, should it occur within the next five years. Some risks will impact on more than one area; where this is the case the most predominant impact e.g. finance should be used to assess the score.

Impact score	1	2	3	4	5
Descriptor	Negligible	Minor	Moderate	Major	Catastrophic
Business Continuity	No or minimal disruption (< 1 hour) to service or conduct of council business	Disruption to service or conduct of council business of 1 hour-1 day	Disruption to service or conduct of council business of 1- 3 days	Disruption to service or conduct of council business of 3-7 days	Disruption to service or conduct of council business of > 7 days
Compliance	No or minimal impact or breach of guidance statutory duty	Minor breach of statutory duty  Reduced performance rating from external/ internal inspector	Moderate breach of statutory duty  Challenging external or internal recommendations or improvement notice	Enforcement action  Major or multiple breaches of statutory duty  Improvement notices  Low performance ratings	Multiple breaches in statutory duty  Prosecution  Complete system changes required  Zero performance against key priorities and targets
Finance	No or minimal financial loss (including risk of claim) <1k	Loss of 0.1-0.25 per cent of delivery unit / council's net budget (approx. £300k - £750k)	Loss of 0.25-0.5 per cent of delivery unit / council's net budget (approx. £750k - £1.5m)	Uncertain delivery of key objectives/ saving plan contributing to a loss of 0.5 – 1.0 percent of delivery	Non delivery of key objective/ saving plan contributing to a loss of >1 percent of delivery unit /

Impact score	1	2	3	4	5
Descriptor	Negligible	Minor	Moderate	Major	Catastrophic
		Risk of claims less than £20k	Risk of claims between £20k - £150k.	unit / council's net budget (approx. £1.5m - £3m)  Risk of claims between £150k to £1m	council's net budget (approx.. £3m)  Loss of major contract (s) Risk of claim > £1m
<b>Health &amp; Safety</b>	Minor injury: Cuts, bruises, etc. Unlikely to result in sick leave	Minor injuries: Likely to result in 1-3 days absence	Moderate injuries: Likely to result in 4-9 days absence	Major injuries: prescribed major injury or condition (RIDDOR Reportable)	Fatality
<b>Information Governance</b>	No personal data involved, or personal data (not HR personal data) between delivery units and partners on Barnet network	Short-term, minimal embarrassment to an individual  Involves HR personal data between delivery units and partners on Barnet network about an individual  Minimal amounts of sensitive personal data about an individual  Minimal amounts of sensitive and personal data released to a trusted partner outside the Barnet network (a trusted partner is a partner with ISAs in place and /or within the PSN network)  Personal data (non-sensitive) released outside the Barnet network to a small group of individuals (e.g. a family)  Minimal disruption or	<i>More than a minimal amount of sensitive personal data is involved at this level</i>  Short-term distress or significant embarrassment to an individual or group of individuals (e.g. a family)  The potential of a financial loss for individuals concerned HR personal data between DUs etc. about a number of individuals (e.g. a team or directorate)  Minimal disruption to a group of individuals or significant disruption in service delivery or distress to an individual (e.g. availability to a set of personal information is lost, requiring resubmission of identity evidence before services  N.B. Short-term	Significant amount of HR, or resident personal, and / or sensitive data released outside the organisation leading to significant actual or potential detriment (including emotional distress as well as both physical and financial damage) and / or safeguarding concerns  N.B. Inform Communications Team and inform the ICO	Catastrophic amount of HR or service user personal and or sensitive data released outside the organisation leading to proven detriment and / or high-risk safeguarding concerns  N.B. Inform Communications Team and inform the ICO

Impact score	1	2	3	4	5
Descriptor	Negligible	Minor	Moderate	Major	Catastrophic
		<p>inconvenience in service delivery to an individual (e.g. an individual has to re-submit an address or re-register for a service)</p> <p>N.B. Minimal amounts of sensitive personal data about an individual includes: a document which only references ethnicity. A document with the equalities assessment naming an individual would be more than a small amount</p>	safeguarding concerns with mitigations that can be implemented swiftly to contain. Potential of informing the ICO		
<b>Staffing &amp; Culture</b>	Short-term low staffing level that temporarily reduces service quality (<1 day)	Low staffing level that reduces service quality	<p>Late delivery of key objective/service due to the lack of staff</p> <p>Low staff morale</p> <p>Poor staff attendance for mandatory/key training</p>	<p>Uncertain delivery of key objective/ service due to lack of staff</p> <p>Unsafe staffing level of competence</p> <p>Loss of key staff</p> <p>Very low staff morale</p> <p>No staff attending training</p>	<p>Non-delivery of key objective/ service due to lack of staff</p> <p>Ongoing unsafe staffing levels or competence</p> <p>Loss of several key staff</p> <p>No staff attending training on an ongoing basis</p>

## Appendix C – Quarterly reporting timetable

### Quarter 3 2016/17

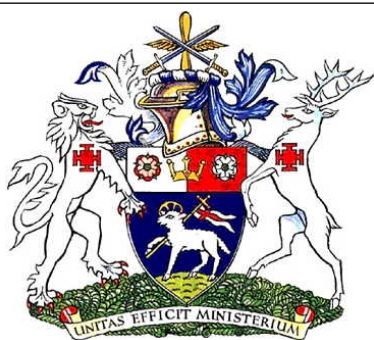
Strategic Commissioning Board	
3 January 2017	Review Quarter 3 2016/17 Corporate Risk Register
31 January 2017	Quarter 3 Performance Monitoring Report 2016/17
Delivery Unit Board	
1 February 2017	Quarter 3 Performance Monitoring Report 2016/17
Performance and Contract Management Committee	
27 February 2017	Quarter 3 Performance Monitoring Report 2016/17

### Quarter 4/Annual 2016/17

Strategic Commissioning Board	
11 April 2017	Review Quarter 4 2016/17 Corporate Risk Register
9 May 2017	Quarter 4/Annual Performance Monitoring Report 2016/17
Delivery Unit Board	
3 May 2017	Quarter 4/Annual Performance Monitoring Report 2016/17
Performance and Contract Management Committee	
6 June 2017	Quarter 4/Annual Performance Monitoring Report 2016/17

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## AGENDA ITEM 9



## Performance and Contract Management Committee

### 5<sup>th</sup> January 2017

<b>Title</b>	<b>Progress report on the Barnet with Cambridge Education partnership</b>
<b>Report of</b>	Commissioning Director, Children and Young People Commercial Director
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	None
<b>Officer Contact Details</b>	<p>Chris Munday, Commissioning Director, Children and Young People and the Director of Children's Services  <a href="mailto:Chris.munday@Barnet.gov.uk">Chris.munday@Barnet.gov.uk</a>            0208 359 2858</p> <p>Caroline Woolf, Commercial Director  <a href="mailto:Caroline.woolf@barnet.gov.uk">Caroline.woolf@barnet.gov.uk</a></p> <p>Ian Harrison, Education and Skills Director  <a href="mailto:Ian.j.harrison@Barnet.gov.uk">Ian.j.harrison@Barnet.gov.uk</a>;            0208 359 7692</p>

## Summary

In April 2016, Barnet entered into a new seven year strategic partnership with Cambridge Education to provide the council's education services. This report provides information on activity and progress during the first six months of this new delivery arrangement and in particular, reports on the outcome of a contractual commitment by Cambridge Education to review services within the first 100 days of the contract.

## Recommendations

- 1. That the Performance and Contract Monitoring Committee consider and note the progress and performance of the strategic partnership with Cambridge Education since commencement on the 1<sup>st</sup> April 2016.**

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

- 1.1 In April 2016, Barnet entered into a new seven year strategic partnership with Cambridge Education (CE) to provide the council's education services. The partnership was established in consultation with Barnet schools following a detailed options appraisal and procurement process as set out in the report approved by the Council on 8<sup>th</sup> December 2015. The aim of establishing the partnership was to
  - Maintain Barnet's excellent education offer;
  - Maintain an excellent relationship between the Council and schools
  - Achieve the budget savings target for the service up to 2020.
- 1.2 The partnership is governed by a series of boards on which schools are represented that steer the strategic direction of the partnership in delivering school improvement, services for children with special educational needs and school place planning.
- 1.3 The contractual arrangements are overseen by a Contract Monitoring Board, chaired by the Commercial Director. The contract contains a schedule of performance indicators comprising key strategic and operational performance indicators that shape the payment mechanism. As with all services, performance indicators that are contained in the council's corporate performance monitor are reported quarterly to PCM Committee. The purpose of this report is to provide more detail on the performance of the arrangement in its first six months and in particular to report on the outcomes of a contractual commitment of CE to conduct '100 day' reviews of services within the contract.

#### **A. Progress since commencement of contract**

- 1.4 The key objectives in the first year of the new strategic partnership were:
  - The seamless transition of services at the start of the contract
  - Business as usual – delivery in accordance with service specifications, including existing traded services
  - Completion of detailed service reviews in the first 100 working days of the contract, then implementation of agreed actions
- 1.5 There was a successful TUPE transfer of staff from the council's Education and Skills service to Cambridge Education and from its catering service to Cambridge Education's catering sub-contractor, ISS, on 1st April. There was



a smooth transfer of all services previously provided to schools and the council, and new governance and performance monitoring regimes have been put in place.

- 1.6 Between May and August Cambridge Education established a number of service reviews and all of these '100-day' reviews were completed by September. Each review was led by an external adviser with specialist knowledge and experience in the service area. The reviews were undertaken to provide a clear understanding of current delivery and performance of the service area and to identify opportunities for service improvement, business development and efficiency savings within the context of national and local requirements over the period of the contract.
- 1.7 The reviews involved:
  - Scrutiny of a range of documentation across the service areas
  - Meetings/interviews with Heads of Service and team leaders
  - Discussions with staff
  - Stakeholder meetings
  - Desktop analysis of current performance data.
- 1.8 Overall the key findings were very positive with most services reported to be effective and well-regarded by schools. Relationships between services and schools were found to be good and a sound basis for an ongoing tri-partite partnership between Cambridge Education, the council and schools.
- 1.9 However, some aspects of statutory SEN service provision were performing less well. The council had alerted Cambridge Education to weaknesses in this area during the procurement process. In some cases, assessments were taking longer than required and some schools reported difficulties in liaising and communicating with the service. The review also identified that more could be done to communicate effectively with parents and families. As a result of the review, changes were introduced in June and July and performance has improved significantly, as indicated in section B5 below.
- 1.10 Traded services with schools were found to be of good quality with some having potential for expansion. One area of concern, however, was the traded Governing Body clerking service, which is relatively expensive and expenditure is exceeding income.
- 1.11 **Catering:** Cambridge Education's catering sub-contractor, ISS, carried out a similar baseline assessment of catering services. Since contract commencement they have worked closely with schools to ensure that catering staff in their kitchens receive training appropriate to their roles and that school kitchens meet the highest health and safety standards. Over the summer all school kitchens were wi-fi enabled to ensure access to CYPAD, an online kitchen management system that allows kitchen managers to order supplies, manage staff pay, etc. CYPAD also allows parents to pre-select and order meals for their children from their homes. A programme of visits to schools is currently being delivered by the ISS development manager to enable discussion about service delivery and the opportunities for schools to attract

investment from ISS in their kitchens. A separate Catering Contract Management Board has been established to discuss and resolve issues as they arise and to monitor the performance of ISS against the agreed KPIs.

## **B. Changes arising from the 100-day reviews**

### **B1: Organisational structure**

- 1.12 The Education and Skills service is being re-organised to increase the efficient use of business support resources and to provide a stronger infrastructure for supporting the growth of traded services.
- 1.13 In order to ensure efficient and effective business support functions across a range of specialist areas (communications, complaints and Members' enquiries, FOIs, data, IT systems, financial administration) most of these services will now be brought together under a single Corporate Services umbrella, under the direction of an Assistant Director, School Access and Corporate Services.
- 1.14 In order to hit the aspirational growth targets that are needed to balance the budget over the period of the contract, it is necessary to develop a common approach and infrastructure for traded services by merging some traded services with BPSI and developing a Barnet Partnership infrastructure for traded services. The new Barnet Partnership team will offer a one stop shop for traded services to schools whilst also developing common systems and processes and a centralised approach to business planning, service pricing and marketing.

### **B2: Investment in IT systems**

- 1.15 The reviews have identified that IT systems and applications in use across the service are fit for purpose and cost effective but in some cases systems or applications have not been used effectively to date or there is duplication between applications or databases, which is often wasteful in terms of staff time.
- 1.16 The main priority developments proposed as a result of the 100 day reviews are:
  - Upgrading the existing servers and creation of additional data storage space.
  - Improvements in the existing functions of the main pupil database (Synergy) and development of new workflows in line with the revised processes identified in the SEN service review. Users in the SEN team will be trained on any new functions and workflows which are added.
  - A review of scanning capability available to the SEN team and development of a short-term approach to scanning, while considering longer-term options for the implementation of an EDRMS system (Electronic Document and Records Management System) in liaison with

the council and CSG (who continue to provide the IT service to the Education and Skills service through their contract with the council).

### **B3: Efficiency savings**

- 1.17 The main areas of potential efficiency savings identified include bringing together business support functions, reducing the cost of SEN transport and reducing the cost of printing.
- 1.18 Over time, staff savings will be possible as a result of the re-organisation of business support functions (corporate services). Future savings will be possible by not filling vacancies and by reducing agency costs.
- 1.19 Efficiency savings have already been made in 2016/17 by the Transport Brokering team through the careful management of external contracts and by securing various efficiencies through the service level agreement for the provision of SEN Transport by the council's Passenger Transport Service (PTS).  
Additional savings are felt to be possible through:
- Further changes to the service level agreement with PTS
  - The re-tendering of services for external transport providers
  - Market-testing of transport services and exploration of options for future delivery in collaboration with the council's commissioning team.
- 1.20 There is a substantial amount spent on printing and the storage and retrieval of hard copy documents. It is hoped to secure significant efficiencies, partly through changing staff behaviours and moving to paperless services, but mainly through the development of the proposed electronic document and records management system.

### **B4: Business development and growth**

- 1.21 Building on the success of the Barnet Partnership for School Improvement, the traded school improvement service, which transferred to Cambridge Education along with other services, it is proposed to develop a Barnet Partnership service that will provide a one stop shop for Barnet with Cambridge Education traded services to schools, enforcing common systems and processes across traded services and a centralised approach to business planning, service pricing and marketing.
- 1.22 Opportunities to sell to other local authorities, independent schools, Multi Academy Trusts, out of borough schools, Academy chains, etc. will be pursued.
- 1.23 CE will also explore the option of developing and marketing school performance data products – e.g. the Route MAP application that CE have developed and shared with a number of Barnet Primary schools.
- 1.24 CE are in the process of re-shaping governor support services. The current traded service offer is being revised in the light of feedback from schools and

a new model is in development. A small team of Governor Advice Officers (GAOs) will offer strategic advisory support to Governing Bodies. Schools will be given an option of paying a higher rate than they currently pay for these staff to clerk the governing bodies as well as providing the GAO role or of saving money by using the GAO for strategic advice whilst employing their own clerk or using a clerk engaged by the Governor Services team on an associate basis. Moving to this new model will require fewer permanently employed staff and every effort will be made to avoid redundancies.

- 1.25 CE are reviewing the traded offer and charging arrangements for non-statutory Educational Psychology support provided to schools. Statutory functions will continue to be carried out without charging schools. CE also plan to extend the range of traded services offered to schools by our High Incidence Support Team, with a particular focus on offering support and training to school SENCOs.
- 1.26 In collaboration with the council's commissioning team, CE have bid successfully for project funding (including ESF funds) for post-16 activities (e.g. in relation to NEETs).

#### **B5: Special educational needs**

- 1.27 Key recommendations from the service reviews included a review of business processes to remove bottlenecks, identifying particular caseworkers to focus on different tasks to build up expertise, prioritising new Education, Health and Care plans to ensure they are completed on time and developing ways to increase stakeholder participation in the assessment process.
- 1.28 A major priority identified was the improvement in performance in relation to the completion of statutory processes. Under the SEN reforms introduced under the Children and Families Act, 2014 and a revised statutory SEN Code of Practice, which took effect in September 2015, local authorities are required to follow new procedures for assessing the needs of children and young people with special educational needs and disabilities. New statutory assessments, leading to the production of Education, Health and Care Plans (EHCPs) for individual pupils must now be completed within 20 weeks (previously 26 weeks) and all existing statements (approximately 2000), and learning disability assessments for college students with learning difficulties and disabilities, must be converted to EHCPs by 31 March 2018.
- 1.29 The 100-day review for the SEND and Inclusion service identified a number of weaknesses and insufficient progress with the transfers to EHCPs and the timely completion of new assessments. In the first quarter of 2016/17 the percentage of new assessments completed within 20 weeks was below 25%.
- 1.30 Following, and arising from, the review, CE has:
  - Completed a Business Process Review of SEN statutory processes
  - Developed improved use of the Synergy database and associated workflows

- Removed bottlenecks to processes (e.g. reviewed use of the Complex Needs Panel and increased delegation of decision-making)
  - Established some new posts and changed reporting lines
  - Revised the transfer plan to ensure that resources are matched to the need to complete all transfers by March 2018.
- 1.31 The rate of completions of new assessments within 20 weeks has risen each month since June:
- July 32%
  - August 63%
  - September 78%
  - October 88%
  - November 94%
- 1.32 Action has also been taken to improve involvement of schools and other stakeholders in designing processes and documentation, including:
- Co-production sessions held with school SENCos and parents
  - A new Voice of the Child SEN forum
  - Maintaining and developing SENCo networks
  - Local Offer reviewed and improved
  - A Strategic Advisory Group established, including a range of partners, to advise on SEN strategy.

## **2. REASONS FOR RECOMMENDATIONS**

- 2.1 As a new partnership, a report has been prepared to enable Members to review progress and outcomes of the work undertaken by CE to review education services in the first six months of the partnership.

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

This report has been prepared to advise Members of the progress of the strategic partnership with CE in its first six months of operation. No alternative methods of advising Members were considered.

## **4. POST DECISION IMPLEMENTATION**

- 4.1 The activities and action required arising from the findings of the 100 day reviews described above will be implemented.

## **5. IMPLICATIONS OF DECISION**

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

- 5.1.1 The quality of the education offer is at the heart of Barnet's continuing success as a place where people want to live, work and study. It plays a crucial part in making Barnet family friendly, with many families attracted to the area by the good reputation of Barnet's schools. Excellent educational outcomes and ensuring children and young people are equipped to meet the needs of employers are key to deliver the Council's vision set out in its Corporate Plan 2015-20 for:

- Barnet's schools to be amongst the best in the country, with enough places for all, and with all children achieving the best they can
- Barnet's children and young people to receive a great start in life and
- For there to be a broad offer of skills and employment programmes for all ages

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

5.2.1 The management fee for the current contract with Cambridge Education is £10.8m per annum. The contract is expected to deliver savings of £850k between 2016/17 and 2019/20 as part of the medium term financial strategy.

## **5.3 Legal and Constitutional References**

5.3.1 The Council's Constitution, in Part 15 Annex A, Responsibility for Functions, states the functions of the Performance and Contract Management Committee include (amongst other responsibilities):

- Overall responsibility for quarterly budget monitoring, including monitoring trading position and financial strategy of Council Delivery Units.
- Monitoring of Performance against targets by Delivery Units and Support Groups including Customer Support Group; Re: The Barnet Group(Including Barnet Homes and Your Choice Barnet); HB Public Law; NSL (Parking Contractor); 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.
- Specific responsibility for the following functions within the Council:
  - Risk Management
  - Treasury Management Performance
  - Note the Annual Report of the Barnet Group Ltd

## **5.4 Risk Management**

5.4.1 CE maintain a risk register in relation to the delivery of the council's objectives of the strategic partnership which is reviewed by the Contract Monitoring Board, chaired by the council's Commercial Director.

## **5.5 Equalities and Diversity**

5.5.1 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.

- 5.5.2 The broad purpose of this duty is to integrate considerations of equality into day to day business and to keep them under review in decision making, the design of policies and the delivery of services.
- 5.5.3 School improvement monitoring, supporting and challenging arrangements ensure that the quality of education in Barnet is maintained and improved. Outcomes for all groups of children and young people are monitored including children with special educational need, children in receipt of free school meals and children looked after. Barnet's Children and Young People Plan and Barnet's Education Strategy both have a strong focus on improving outcomes for disadvantaged groups of children and young people.
- 5.5.4 The delays in completing new assessments and slow progress in transferring statements to ECH Plans will impact disproportionately on pupils with disabilities as defined under the Equality Act 2010. Steps have been taken to resolve these issues as set out in paragraphs 1.30 to 1.32 above.

**5.6 Consultation and Engagement**

None

**6. BACKGROUND PAPERS**

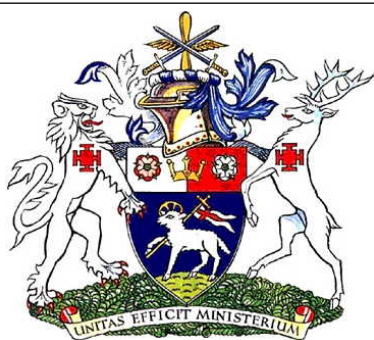
Children, Education, Libraries and Safeguarding Committee, Agenda Item 7, *Education and Skills, Future Delivery of Services*, 18<sup>th</sup> November 2015  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=697&MId=8259&Ver=4>

Council, *Education and Skills, Future Delivery of Services*, 8<sup>th</sup> December 2015  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=8341&Ver=4>

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AGENDA ITEM 10



## Performance and Contract Management Committee

5<sup>th</sup> January 2017

<b>Title</b>	<b>Extending the remit of the Member-led Working Group for the Year Four Review of the DRS Partnering Contract</b>
<b>Report of</b>	Chief Operating Officer
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	Appendix A – Clause 37.4 of Re Contract
<b>Officer Contact Details</b>	<p>Caroline Woolf – Commercial Director  <a href="mailto:caroline.woolf@barnet.gov.uk">caroline.woolf@barnet.gov.uk</a></p> <p>Deborah Hinde – Contract Review Manager  <a href="mailto:deborah.hinde@barnet.gov.uk">deborah.hinde@barnet.gov.uk</a></p>

### Summary

At its meeting on 7<sup>th</sup> January 2016, the Performance and Contract Management Committee established a Member-led Working Group (the Group) to oversee the Year Three Review of the Customer and Support Group (CSG) contract. That Group met throughout 2016 to steer the work of the Review and agree the recommendations arising from it. At its meeting on 15<sup>th</sup> November 2016, the Committee agreed that the Group should continue to meet until the end of March 2017, to oversee the completion of the Review.

The DRS Partnering Contract (the Re Contract) provides for a similar, year four, contract review process, which is due to commence in January 2017. The purpose of this report is to seek the Committee's agreement to extend the remit of the established Member-led Working Group to provide oversight of the Year Four Re Contract Review.

## Recommendations

- 1. That the Committee agrees 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 agrees 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 nominates and appoints five Members to the Working Group, as set out under section 1.6 of the report.**

### 1. WHY THIS REPORT IS NEEDED

- 1.1 The Re contract commenced on the 1<sup>st</sup> October 2013 and allows for a review at the end of year four.
- 1.2 The contractual arrangements for conducting the review are set out in clause 37.4 of the contract, a copy of which is attached as Appendix A. The review process is designed to give both parties an opportunity to: consider what is working well; identify areas for improvement; and to consider the changing needs and priorities of the council. It is intended that the Review will commence in January 2017, with a view to it being substantially completed by July 2017. It is further intended that the Review will be conducted in a similar manner to the CSG Contract Review, with the collection and consideration of evidence leading to constructive dialogue with Capita Business Services Ltd, to agree any changes required to the contract.
- 1.3 At its meeting on 7<sup>th</sup> January 2016, the Performance and Contract Management Committee established a Member-led Working Group to oversee the year three review of the Customer and Support Group (CSG) contract. That Group met throughout 2016 to steer the work of the Review and agree the recommendations arising from it. At its meeting on 15<sup>th</sup> November 2016, the Committee agreed that the Group should continue to meet until the end of March 2017, to oversee the completion of the Review.
- 1.4 The purpose of this report is to seek the Committee's agreement to extend the remit of the established Member-led Working Group to provide oversight of the Year Four Re Contract Review.
- 1.5 Members of the Group to date have been:

Councillor Geoffrey Cooke

Councillor Anthony Finn (Chairman)  
Councillor Sury Khatri  
Councillor Kathy Levine  
Councillor Peter Zinkin

- 1.6 It is proposed that the political representation on the Group should remain the same, i.e. three Conservative and two Labour Members, and that the Committee decides on whether to continue with the existing membership or to appoint new Members from the current Committee membership.
- 1.7 It is further proposed 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;
  - agreeing the recommendations to Committee.
- 1.8 Progress reports on the conduct of the Review will be brought to the Committee. It is anticipated that the key findings and recommendations from the Review will be brought to the Committee in July 2017. This will require an additional meeting to be organised, as the current schedule provides for meetings in June 2017 and November 2017.
- 1.9 Members are asked to note that the contract provides for a comprehensive benchmarking exercise, covering cost and service quality, to be carried out in conjunction with the Review.
- 1.10 As part of the early planning for the Review, a consultation and engagement plan will be drafted for consideration by the Working Group. This will set out proposals for a public call for evidence, which will include holding a meeting of the Group in public, to enable residents to present their views on the services provided under the contract.

## **2. REASONS FOR RECOMMENDATIONS**

- 2.1 A key element of effective financial management is to plan ahead to ensure the council is well placed to meet future challenges. Conducting the Re contract review will ensure it continues to deliver savings and is aligned to the council's future strategic objectives.

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

- 3.1 The Committee could decide not to convene a Member-led Working Group to oversee the Review and delegate this to officers to complete. This is not recommended, as it would prevent elected Members from having visibility of and input to the review of a major contract.

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

- 4.1 Subject to the Committee's agreement, the Working Group will commence its role in January 2017 and key findings from the Review will be presented to the Committee in July 2017. The Working Group will determine arrangements for public consultation and engagement.

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

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

- 5.1 The council's corporate plan for 2015-20 sets the vision and strategy for the next five years based on the core principles of **fairness, responsibility** and **opportunity**, to make sure Barnet is a place:

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

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

- 5.2 By way of background, the core Re contract, including managed budgets, has a value of approximately £158m over the life of the contract, i.e. 10 years. As can be seen from Appendix A, the Review will be carried out by the council at its own cost. It is expected that this will be completed within existing budgets. The Benchmarking Exercises will be carried out at Re's own cost. The Review should ensure that the Re contract continues to provide value for money, and responds to changing council priorities.

##### **Social Value**

- 5.3 The potential to achieve social value will be addressed in the review process.

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

- 5.4 The Council's Constitution, in Part 15 Annex A, Responsibility for Functions, states the functions of the Performance and Contract Management Committee include (amongst other responsibilities):

- 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 and Support Groups including Customer Support Group; Re; the Barnet Group (Including Barnet Homes and Your Choice Barnet); HB Public Law; NSL (Parking Contractor); Adults and Communities; Family Services; Education and Skills; Streetscene; Public Health; Commissioning Group; and Assurance.
- 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.

5.5 Regulation 72 (1) of the Public Contracts Regulations 2015 states that "Contracts...may be modified without a new procurement procedure:

(a) Where the modifications, irrespective of their monetary value, have been provided for in the initial procurement documents in clear, precise and unequivocal review clauses, which may include price revision clauses or options, provided that such clauses:

(i) State the scope and nature of possible modifications or options as well as the conditions under which they may be used; and

(ii) Do not provide for modifications or options that would alter the overall nature of the contract...'

5.6 Clause 37.4 of the Re contract expressly provides for this year four review and expressly allows for modification to the contract resulting from that review. Therefore, any agreed changes to the contract will be in line with the Public Contract Regulations 2015 as long as the changes do not alter the overall nature of the contract.

5.7 The contract changes agreed will need to be authorised by the relevant officer in line with the Council's constitution and documented in a Deed of Variation or similar legal form to ensure that they are legally binding on both parties.

### **Risk Management**

5.8 The council has taken steps to improve its risk management processes by integrating the management of financial and other risks facing the organisation.

5.9 The council's future savings proposals as set out in its Business Planning report require a fundamental change in the way the council's services are delivered. This includes those services that are provided by partner organisations on behalf of the council. Reviewing the services provided under the Re contract will ensure that they remain aligned to the priorities of the council, continue to provide value for money and meet the needs of residents.

### **Equalities and Diversity**

5.10 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.

5.11 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.

5.12 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.

5.13 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.

#### **Consultation and Engagement**

5.14 Consultation and engagement will take place in accordance with the arrangements agreed by the Working Group, as referenced in paragraph 1.10 of this report.

#### **Insight**

5.15 The use of benchmarking data will be considered as part of the review.

## **6. BACKGROUND PAPERS**

6.1 Performance and Contract Management Committee, 7 January 2016 – Agenda Item 10 – Fundamental Review of Customer and Support Group (CSG) Contract

<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=693&MId=8407&Ver=4>

6.2 Approval of preferred bidder for DRS services:

<https://barnet.moderngov.co.uk/documents/s9226/DRS%20Cabinet%20Report.pdf>

## 37.4 Year 4 and Year 7 Reviews

### Year 4 Review

37.4.1 Following the Benchmarking Exercise in Clause 38 undertaken on the fourth anniversary of the commencement of the Agreement, the Authority shall conduct a full review of the Services and the performance of the Service Provider in fulfilling its obligations under this Agreement and in accordance with paragraph 32.4 (Schedule of Rates) of Schedule 4 (Payment Mechanism) in order to identify any improvements or savings the Authority may wish to implement in respect of the Services (Year 4 Outcome Review). If a Benchmarking Exercise has not been carried out within three months of the fourth anniversary of the commencement of the Agreement then the Authority may conduct the Year 4 Review independently of any Benchmarking Exercise.

37.4.2 The parties agree that the Year 4 Outcome Review shall be carried out in good faith and each party shall act reasonably in relation to any such Year 4 Outcome Review.

37.4.3 The Year 4 Outcome Review shall be carried out by the Authority at its own cost.

37.4.4 If the Authority requires any changes to be implemented it will notify the Service Provider in writing, setting out the improvements to the Services or reduction to the Periodic Service Payment sought.

37.4.5 The Service Provider shall provide the Authority within fifteen (15) Business Days of receipt of such notice from the Authority (or as otherwise agreed between the parties in writing) an outline proposal setting out the Authority's options in order to achieve the improvements to the Services or alteration to the Periodic Service Payment required by the Authority and the estimated costs for each option (the Year 4 Options Proposal).

37.4.6 The Year 4 Options Proposal shall include:

- (a) a comprehensive range of options which directly address the different aspects of the Services identified for improvement in the Year 4 Outcome Review;
- (b) in relation to each option, the reasonable professional opinion of the Service Provider as to the impact of such option on the provision of the Services and whether such option is feasible in the context of the Public Contracts Regulations 2006 (as updated); and
- (c) information within each option as to the steps that the Service Provider shall take to ensure that the overall level of Guaranteed Income payable to the Authority is maximised.

37.4.7 No later than thirty (30) Business Days after the Authority receives the Year 4 Options Proposal, the Authority shall notify the Service Provider as to the Authority's preferred option and the Service Provider shall within twenty (20) Business Days (or such other longer period as agreed to between the parties) provide a detailed proposal for that option which shall include:

- (a) all the information required as part of a Full Business Case submitted pursuant to Schedule 15 (Special Projects Approval Procedure) and the relevant provisions of Schedule 15 shall apply as if references to Special Project were to the Year 4 Detailed Proposal;

- (b) the Change in Costs and Change in Revenue;
  - (c) any amendments required to this Agreement (including without limitation the Output Specifications), and
  - (d) any Consents or regulatory approvals that may be required
- (the Year 4 Detailed Proposal).

37.4.8 As soon as practicable after the Authority receives the Year 4 Detailed Proposal:

- (a) the Service Provider shall provide the Authority with all additional information it requires in order to verify the Year 4 Detailed Proposal,
- (b) the Authority shall advise the Service Provider whether it proposes that the Year 4 Detailed Proposal be addressed pursuant to the Change Protocol;
- (c) the Authority shall advise the Service Provider whether the Authority elects to exercise any of its further rights under the Agreement; and/or
- (d) the parties shall discuss and agree the issues set out in Year 4 Detailed Proposal.

37.4.9 After a Year 4 Detailed Proposal has been agreed or otherwise determined the Authority and the Service Provider shall promptly seek to agree how any consequential changes should be documented to ensure that they are legally binding on both parties (and in the absence of agreement the form of such documentation shall be determined in accordance with the Dispute Resolution Procedure) and thereafter the parties shall promptly sign or execute (as appropriate) such documentation (Year 4 Implementation Plan).

37.4.10 Within twenty (20) Business Days of the fifth (5th) anniversary of the Service Transfer Date, the Service Provider shall provide a report to the Authority detailing whether it has met the targets in the Year 4 Implementation Plan insofar as they were set for the preceding year and confirmation of whether on-going targets have been or will be met.

#### 37.4.11 Year 7 Review

Following the Benchmarking Exercise in Clause 38 undertaken on the seventh anniversary of the commencement of the Agreement, the Authority may conduct a review in accordance with paragraph 32.4 (Schedule of Rates) of Schedule 4 (Payment Mechanism) and to identify any improvements or savings the Authority may reasonably wish to implement in respect of the Services following such review (Year 7 Review) and the Service Provider shall cooperate with such review and clauses 37.4.12 - 37.4.20 shall apply. If a Benchmarking Exercise has not been carried out within three months of the seventh anniversary of the commencement of the Agreement then the Authority may conduct the Year 7 Review independently of any Benchmarking Exercise.

37.4.12 The parties agree that the Year 7 Review shall be carried out in good faith and each party shall act reasonably in relation to any such Year 7 Review.

37.4.13 The Year 7 Review shall be carried out by the Authority at its own cost.



37.4.14 If the Authority requires any changes to be implemented it will notify the Service Provider in writing, setting out the improvements to the Services or alteration to Periodic Service Payment sought.

37.4.15 The Service Provider shall provide the Authority within fifteen (15) Business Days of receipt of such notice from the Authority an outline proposal setting out the Authority's options in order to achieve the improvements to the Services or alteration to the Periodic Service Payment required by the Authority and the estimated costs for each option (the Year 7 Options Proposal).

37.4.16 The Year 7 Options Proposal shall include:

- (a) a comprehensive range of options which directly address the different aspects of the Services identified for improvement in the Year 7 Review;
- (b) in relation to each option, the reasonable professional opinion of the Service Provider as to the impact of such option on the provision of the Services and whether such option is feasible in the context of the Public Contracts Regulations 2006 (as updated); and
- (c) information within each option as to the steps that the Service Provider shall take to ensure that the overall level of Guaranteed Income payable to the Authority is maximised.

37.4.17 No later than thirty (30) Business Days after the Authority receives the Year 7 Options Proposal, the Authority shall notify the Service Provider as to the Authority's preferred option and the Service Provider shall within twenty (20) Business Days (or such other longer period as agreed between the parties) provide a detailed proposal for that option which shall include:

- (a) all information required as part of a Full Business Case submitted pursuant to Schedule 15 (Special Projects Approval Procedure) and the relevant provisions of Schedule 15 shall apply as if references to Special Project were to Year 7 Detailed Proposal;
- (b) the Change in Costs and Change in Revenue;
- (c) any amendments required to this Agreement (including without limitation the Output Specifications); and
- (d) any Consents or regulatory approvals that may be required,  
(the Year 7 Detailed Proposal).

37.4.18 As soon as practicable after the Authority receives the Year 7 Detailed Proposal:

- (a) the Service Provider shall provide the Authority with all additional information it requires in order to verify the Year 7 Detailed Proposal,
- (b) the Authority shall advise the Service Provider whether it proposes that the Year 7 Detailed Proposal be addressed pursuant to the Change Protocol;
- (c) the Authority shall advise the Service Provider whether the Authority elects to exercise any of its further rights under the Agreement; and/or

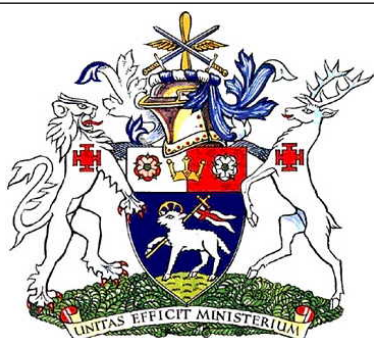
(d) the parties shall discuss and agree the issues set out in Year 7 Detailed Proposal.

37.4.19 After a Year 7 Detailed Proposal has been agreed or otherwise determined the Authority and the Service Provider shall promptly seek to agree how any consequential changes should be documented to ensure that they are legally binding on both parties (and in the absence of agreement the form of such documentation shall be determined in accordance with the Dispute Resolution Procedure) and thereafter the parties shall promptly sign or execute (as appropriate) such documentation (Year 7 Implementation Plan).

37.4.20 Within twelve (12) months of the execution of the Year 7 Implementation Plan, the Service Provider shall provide a report to the Authority detailing whether it has met the targets in the Year 7 Implementation Plan insofar as they were set for the preceding year and confirmation of whether on-going targets have been or will be met. The Authority may take account of such report when deciding whether to extend the Service Period under clause 2.3 (Commencement and Duration).

37.4.21 Nothing in this clause 37.4 shall fetter the Authority's decision (in its sole discretion) as to whether to seek an extension of the Service Period under clause 2.3 of this Agreement.

AGENDA ITEM 11



## Performance and Contract Management Committee

5 January 2017

<b>Title</b>	<b>Committee Work Programme</b>
<b>Report of</b>	Head of Governance
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	Appendix A – Committee Work Programme 2017
<b>Officer Contact Details</b>	Salar Rida, Governance Officer <a href="mailto:salar.rida@barnet.gov.uk">salar.rida@barnet.gov.uk</a> 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](mailto:salar.rida@barnet.gov.uk)

Title of Report	Overview of decision	Report Of ( <i>officer</i> )	Issue Type (Non key/Key/Urgent)
5 January 2017			
Business Planning - Proposed indicators and targets for Corporate Plan – Addendum 2017/18	To receive and review the report on proposed indicators and targets for Corporate Plan – Addendum 2017/18	Stephen Evans Interim Chief Operating Officer	Non Key
Cambridge Education 100 day review and update (follow-up from May 2016)	To receive the update and consider the 100 day review report.	Chris Munday Commissioning Director for Children and Young People  Val White, Programme Director Education and Learning	Non Key
Year Four Review of the Re Contract	To establish a Member-led Working Group to provide oversight of the Year Four Re Contract Review.	Stephen Evans Interim Chief Operating Officer	Non Key
Risk Management Framework	To receive and note the Risk Management Framework update	Stephen Evans Interim Chief Operating Officer	Non Key
13 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



<b>Subject</b>	<b>Decision requested</b>	<b>Report Of</b>	<b>Type</b>
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	<b>TBC</b>
<b>24 May 2017</b>			
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	<b>Non key</b>
Final Corporate Plan – Addendum 2017/18 (information only)	To note the report	Stephen Evans Interim Chief Operating Officer	<b>TBC</b>
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.	Stephen Evans Interim Chief Operating Officer  Kari Manovitch, Head of Customer Strategy and Programmes, Commercial  Katherine Lyon, Head of Customer Services and Transformation, Capita  Chris Melia Customer Experience Manager, Capita	<b>Non key</b>

<b>Subject</b>	<b>Decision requested</b>	<b>Report Of</b>	<b>Type</b>
Education and Skills Contract – update on KPI's	At the meeting on 31 <sup>st</sup> 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	<b>Non key</b>
<b>To be allocated</b>			
Re Contract Review	To review and receive update report.	Stephen Evans Interim Chief Operating Officer	<b>Non key</b>
Clienting Arrangements - Customer & Support Group (CSG) Contract	At its meeting on 31 <sup>st</sup> 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	<b>Non key</b>