

MEETING

POLICY AND RESOURCES COMMITTEE

DATE AND TIME

MONDAY 11TH JUNE, 2018

AT 7.00 PM

VENUE

HENDON TOWN HALL, THE BURROUGHS, LONDON NW4 4BG

TO: MEMBERS OF POLICY AND RESOURCES COMMITTEE (Quorum 3)

Chairman: Councillor Richard Cornelius
Vice Chairman: Councillor Daniel Thomas BA (Hons)

Dean Cohen
Anthony Finn
Ross Houston
Alison Moore

Barry Rawlings
Arjun Mittra
Kath McGuirk
Peter Zinkin

Sachin Rajput
David Longstaff

Substitute Members

Gabriel Rozenberg
Alan Schneiderman

Melvin Cohen
Mark Shooter

Geof Cooke

In line with the Constitution's Public Participation and Engagement Rules, requests to submit public questions or comments must be submitted by 10AM on the third working day before the date of the committee meeting. Therefore, the deadline for this meeting is Wednesday 6 June at 10AM. Requests must be submitted to Kirstin Lambert; 02083592177 kirstin.lambert@barnet.gov.uk

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

Andrew Charlwood – Head of Governance

Governance Service contact: Kirstin Lambert; 02083592177 kirstin.lambert@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 last meeting	5 - 14
2.	Absence of Members	
3.	Declaration of Members' Disclosable Pecuniary interests and Non Pecuniary interests (If any)	
4.	Report of the Monitoring Officer (if any)	
5.	Public Questions and Comments (if any)	
6.	Members' Items (if any)	15 - 18
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9.	Statement of Community Involvement	63 - 106
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11.	CBAT Licensing to external parties	107 - 134
12.	Implementation of IT Strategy: Full business case for next phase of implementation of Microsoft SharePoint Online for document management	135 - 204
13.	Authorisation to participate in the Mayor of London's REFIT programme	205 - 210
14.	Contract variations and extensions	211 - 214
15.	Emergency Planning	215 - 222
16.	End of Year 2017/18 Performance Monitoring Report	223 - 316
17.	Committee Forward Work Programme	317 - 324

18.	Any other item(s) the Chairman decides are urgent	
19.	Motion to Exclude the Press and Public	
20.	Saracens Loan Agreement (exempt)	To Follow
21.	Any other exempt item(s) the Chairman decides are urgent	

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Decisions of the Policy and Resources Committee

13 February 2018

Members Present:-

AGENDA ITEM 1

Councillor Richard Cornelius (Chairman)
Councillor Daniel Thomas (Vice-Chairman)

Councillor Dean Cohen	Councillor Alon Or-Bach
Councillor Tom Davey	Councillor Sachin Rajput
Councillor Ross Houston	Councillor Barry Rawlings
Councillor Alison Moore	Councillor David Longstaff
Councillor Alan Schneiderman (as substitute)	Councillor Reuben Thompstone (as substitute)

Also in attendance

Councillor Helena Hart

Apologies for Absence

Councillor Paul Edwards Councillor Anthony Finn

1. MINUTES OF LAST MEETING

RESOLVED that the minutes of the meeting held on 5 December 2017 be agreed as a correct record.

2. ABSENCE OF MEMBERS

Apologies for absence were received from Councillor Anthony Finn who was substituted for by Councillor Reuben Thompstone, and from Councillor Paul Edwards who was substituted for by Councillor Alan Schneiderman.

3. DECLARATION OF MEMBERS' DISCLOSABLE PECUNIARY INTERESTS AND NON PECUNIARY INTERESTS (IF ANY)

The following interests were declared:

Councillor	Agenda Item	Interest
Cllr Reuben Thompstone	7 – North Finchley Town Centre Framework SPD	A non-pecuniary interest as he owns a residential letting property a quarter of a mile outside the red line of the SPD, and as he is a past Chair of the Woodhouse Conservative Association which made a representation on the proposals.
Cllr Barry	7 – North Finchley	A non-pecuniary interest as he

Rawlings	Town Centre Framework SPD	lives within the consultation area of the SPD.
Cllr Ross Houston	7 – North Finchley Town Centre Framework SPD and 8 – The Barnet Group Business Plan	A non-pecuniary interest as he lives within the consultation area of the SPD. A non-pecuniary interest as he is a member of the Barnet Group Board.
Cllr Alon Orbach	7 – North Finchley Town Centre Framework SPD	A non-pecuniary interest as he lives within the consultation area of the SPD.
Cllr Sachin Rajput	7 – North Finchley Town Centre Framework SPD	A non-pecuniary interest as he is a member of the Friern Barnet and Whetstone Residents Association which has links to the ward.
Cllr David Longstaff	7 – North Finchley Town Centre Framework SPD	A non-pecuniary interest as he is a trustee of the Artsdepot in Finchley.

4. REPORT OF THE MONITORING OFFICER (IF ANY)

None.

5. PUBLIC QUESTIONS AND COMMENTS (IF ANY)

Details of the questions asked and the published answers were provided with the agenda papers for the meeting. Verbal responses were given to supplementary questions at the meeting.

Oral public comments were received on Agenda item 7 from Mr David Thompson, Dr Pauline Ashbridge, Mr Richard Logue (on behalf of Mr Roger Tichborne) and Ms Georgeta Amanalachioai.

Written comments were provided with agenda papers for the meeting.

6. MEMBERS' ITEMS (IF ANY)

None.

7. NORTH FINCHLEY TOWN CENTRE FRAMEWORK SUPPLEMENTARY PLANNING DOCUMENT (SPD)

The Committee considered the report.

Councillor Ross Houston moved an amendment, which was seconded by Councillor Richard Cornelius, that a fourth recommendation be added as follows:

4. i) Agrees to establish a North Finchley Partnership Board to comprise representatives of local stakeholders including local councillors, traders, businesses, landlords, Barnet Homes, residents and community organisations, local schools, the Artsdepot, faith organisations and the Council lead officer and appropriate representative of the lead developer. This partnership board should

help oversee, monitor, scrutinise and hold to account the management of the Town Centre and implementation of the SPD.

ii) Agrees to delegate to officers the precise terms of reference in consultation with the Chair of Committee and Opposition Lead.

On the amendment being put to the vote it was unanimously agreed.

Councillor Alan Schneiderman moved an amendment, which was duly seconded, that recommendation three in the report be amended to insert the words 'particularly to ensure the avoidance of rat running' after the words 'minor nature,' with the full recommendation to read as follows:

3. Agrees the adoption of the North Finchley Town Centre Framework SPD (Appendix A) and delegates authority to the Deputy Chief Executive to make any necessary changes of a minor nature, particularly to ensure the avoidance of rat running, to the final wording of the SPD in consultation with the Leader before the final version of the SPD is published.

On the amendment being put to the vote it was unanimously agreed.

The recommendations as amended were put to the vote and unanimously agreed.

RESOLVED –

1. **Notes the consultation response to the draft Supplementary Planning Document (SPD) and agrees the consequential proposed changes to the SPD outlined and explained in the Consultation Representation Report at Appendix B.**
2. **Notes the contents of the North Finchley High Level Transport Review (Appendix C) which has been produced as an additional supporting document for the SPD.**
3. **Agrees the adoption of the North Finchley Town Centre Framework SPD (Appendix A) and delegates authority to the Deputy Chief Executive to make any necessary changes of a minor nature, particularly to ensure the avoidance of rat running, to the final wording of the SPD in consultation with the Leader before the final version of the SPD is published.**
4. **i) Agrees to establish a North Finchley Partnership Board to comprise representatives of local stakeholders including local councillors, traders, businesses, landlords, Barnet Homes, residents and community organisations, local schools, the Artsdepot, faith organisations and the Council lead officer and appropriate representative of the lead developer. This partnership board should help oversee, monitor, scrutinise and hold to account the management of the Town Centre and implementation of the SPD.**

ii) Agrees to delegate to officers the precise terms of reference in consultation with the Chair of Committee and Opposition Lead.

8. THE BARNET GROUP BUSINESS PLAN

The Committee considered the report.

The recommendation in the report was put to the vote and the votes were declared as follows:

For	7
Against	0
Abstain	5
Absent	0

RESOLVED – That the Committee approve the Business Plan attached as appendix A.

9. ANNUAL PROCUREMENT FORWARD PLAN [APFP] SUPPLEMENT 2018/2019

The Committee considered the report.

The recommendation in the report was put to the vote and unanimously declared carried.

RESOLVED – That approval be given to officers to proceed with procurement activity as presented in the Annual Procurement Forward Plan [APFP] Supplement 2018/2019.

10. PUBLIC HEALTH NURSING 0-19

The Committee received a representation from Councillor Helena Hart on the report, and then considered the report.

The recommendations in the report were put to the vote and unanimously declared carried.

RESOLVED – That the Committee

- 1. Agree a contract extension for health visiting, school nursing and Family Nurse Partnership, with the inclusion of a breast-feeding peer support service, from March 2018 until 31st March 2020 with Central London Community Healthcare Trust.**
- 2. Note the options available for future 0 to 19 public health nursing provision and agree that, subject to further exploratory work confirming the feasibility and desirability of the proposals, that 0 – 19 Public Health nursing be brought ‘in house’ in April 2020.**

11. EXTENSION OF EXTRA CARE CONTRACT FOR PROVISION OF CARE AND SUPPORT

The Committee considered the report.

Councillor Moore requested that the Committee receive an update report on this matter in approximately six months' time. This was duly agreed.

The recommendation in the report was put to the vote and unanimously agreed.

RESOLVED – That the Committee agree to waive the Contract Procedure Rules to extend the contractual relationship with Metropolitan Support Trust to residents of Wood Court, the extra care housing scheme, for the provision of care and support services from 1st June 2018 for the period of twelve months to 31st May 2019.

12. COUNCIL PREPARATIONS FOR THE GENERAL DATA PROTECTION REGULATION (GDPR)

The Chairman noted there was a typographical error in recommendation 2 of the report, and that the paragraph reference in recommendation 2 should be 5.4.6 not 5.4.5. This was duly noted by the Committee.

The Committee considered the report.

The recommendations in the report were put to the vote and unanimously agreed.

RESOLVED –

- 1. That the Policy & Resources Committee notes the deadline of 25 May 2018 associated with compliance with the GDPR and the potential regulatory action in the event of non-compliance.**
- 2. That the Policy & Resources Committee notes the distinction of the three roles of a councillor, how GDPR applies to each of them, and the split of responsibilities between council and councillor as detailed in section 5.4.6.**
- 3. That the Policy & Resources Committee endorses the importance of the planned e-learning detailed in section 5.2.2 and encourages councillors to undertake said e-learning, including any newly elected councillors following the 3 May local elections.**

13. BUSINESS PLANNING 2018-2020

The Committee considered the Business Planning report and the Addendum report on Council Tax for Care Leavers.

The Committee requested that ahead of the budget full council meeting officers check the figures contained in the main report, Appendix G – Fees and Charges, particularly from line S72 onwards, to ensure that the figures are accurate.

On recommendations 1-31 in the main report being put to the vote the votes were declared as follows:

For	7
Against	0
Abstain	5
Absent	0

On the recommendation in the Addendum report on Council Tax for Care Leavers being put to the vote, it was unanimously agreed.

RESOLVED –

- 1. Consider the issues that have emerged from the consultation when making their decisions. The committee make the decisions below also being mindful of the equalities impact assessments including the cumulative equalities impact assessments;**
- 2. Recommend to Council for approval the MTFs attached as Appendix A and the detailed revenue budgets in Appendices C1 and C2. The MTFs sets out all of the budget changes over the period 2017-20, including assumptions around inflation, changes to levies, pressures, savings and grant funding. It is the model around which the council's financial strategy is based;**
- 3. Recommend to Council that the budget for 2018/19 is prepared on the basis of no increase to general council tax in 2018/19, other than for the increase set out below on recommendation 4;**
- 4. Recommend to Council the applying of a social care precept at 3% in 2018/19 – to help fund care for vulnerable adults and the elderly;**
- 5. Recommend to Council the resolutions relating to Council Tax contained within Appendix B – Council Tax Resolutions;**
- 6. Recommend to Council, on the advice of the Chief Finance Officer, that it determines that the council's basic amount of Council Tax for 2018/19 as set out in Council Tax resolution (Appendix B) 2(iv) is not excessive in accordance with the principles approved under section 52ZB and 52ZC of the Local Government Finance Act 1992, set out in the Referendums relating to Council Tax increases (Principles)(England) Report 2018/19. Subject to any change to the Report (at the time of publication this report was draft);**
- 7. Recommend to Council for approval the Barnet Council Tax Support Scheme, adopted in January 2015, remain unchanged except for uprating in**

line with Department for Work and Pension changes for housing benefit (see 1.7.12 below);

8. Notes that the working age non-dependent (ND) charges be uprated as set out in paragraph 1.7.13;
9. Recommend to Council that in accordance with Section 38(2) of the Local Government Finance Act 1992 the Chief Executive be instructed to place a notice in the local press of the amounts set under recommendation 5 above within a period of 21 days following the Council's decision;
10. Recommend to Council for approval the capital programme as set out in Appendix E1 and E2, and that the Chief Officers be authorised to take all necessary actions for implementation;
11. Approve the addition to the capital programme in relation to the Barnet Trees Policy (as per paragraph 1.8.16);
12. Approve the addition to the capital programme in relation to the Gaelic Playing pitch relocation (as per paragraph 1.8.20);
13. Approve the addition to the capital programme in relation to the Tranche 3 Affordable Homes Programme (as per paragraph 1.8.25);
14. Approve the addition to the capital programme in relation to the Housing Acquisition Programme (as per paragraph 1.8.29);
15. Approve the use of institutional investment funds of up to £50m to support the Housing Acquisition Programme (as per paragraph 1.8.29);
16. Approves the changes to the existing Capital Programme as set out in section 1.8 and appendix D;
17. Recommend to Council that the Chief Finance Officer be authorised to adjust capital project budgets and financing in 2018/19 throughout the capital programme after the 2017/18 accounts are closed and the amount of slippage and budget carry forward required are known;
18. Recommend to Council the approval of the Treasury Management Strategy for 2018/19 as set out in Appendix J;
19. Recommend to Council the approval of the following in relation to the Housing Revenue Account:
 - I. The proposed rent decrease by 1% for council dwellings as set out in paragraph 1.10.3 to take effect from 1 April 2018;

- II. The proposed increase to service charges for council dwellings as set out in paragraph 1.10.9 to take effect from 1 April 2018; and,**
 - III. The proposed rent increase of 3.1% for council garages as set out in paragraph 1.10.9 to take effect from 1 April 2018.**
- 20. Recommend to Council the approval of the draft Schools Budget of £327.313m as per paragraph 1.6.8;**
- 21. Note the draft Post-16 budget of £5.417m as per paragraph 1.6.8;**
- 22. Recommend to Council that any changes to the Schools Budget reasonably required as a result of the final 2018/19 DSG and Post-16 settlement are delegated for decision to the Strategic Director - Children & Young People in consultation with the Director of Finance;**
- 23. Note the Adults, Children's and Environment fees and charges that were approved at their relevant Theme Committee as detailed in Appendix G;**
- 24. Note the summary equality impact assessment (EIA) and cumulative assessment set out in section 5.6. Appendix I provides the cumulative impact and individual Delivery Unit assessments where significant changes to service delivery are proposed;**
- 25. Recommend to Council approval of the reserves and balances policy as set out in Appendix K and indicative amounts as set out in para 1.12 and the Chief Finance Officer's assessment of adequacy of reserves in section 1.12. The Committee recommend to Council that the CFO authorised to adjust balances in 2018/19 after 2017/18 accounts are closed and the amount of balances carry forward required are known;**
- 26. Approve the changes to the underlying financial strategy of the Council as set out in paragraph 1.4.20;**
- 27. Approve budget movements as set out in paragraph 1.15;**
- 28. Recommend to Council to approve the write offs as detailed in paragraph 1.16;**
- 29. Note the corporate risk register and recommend it to Council as set out in Appendix M;**
- 30. Recommend to Council for approval the Corporate Plan – 2018/19 addendum attached as Appendix N; and**

31. Approve the establishment of a Collection Fund Smoothing Reserve as set out in paragraph 1.12.10.

32. That the Policy & Resources Committee authorises the Deputy Chief Executive to consult on a policy for offering council tax relief to care leavers up to age 25 on the basis of automatic relief for their first two years of independent living, and a presumption in favour of granting relief should it be requested by a social worker thereafter; and instructs the Deputy Chief Executive to bring the policy to a future meeting of the committee for approval.

14. REQUEST REFERRED FROM HEALTH OVERVIEW AND SCRUTINY COMMITTEE FOLLOWING CONSIDERATION OF MEMBER'S ITEM IN THE NAME OF CLLR PHIL COHEN

The Committee considered the report.

The Committee noted there could be benefit to inclusion of information taking into consideration all relevant health and wellbeing policies, and agreed that the Constitution Ethics and Probity Committee should consider the matter, in the context of a wider discussion on the report template.

15. ANY OTHER ITEM(S) THE CHAIRMAN DECIDES ARE URGENT

The Committee considered an urgent report on the Response to the Mayor of London's Draft London Plan.

On the recommendations in the report being put to the vote the votes were declared as follows:

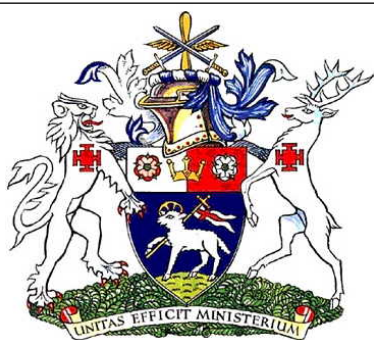
For	7
Against	5
Abstain	0
Absent	0

RESOLVED –

- 1. That the Committee notes the contents of the Mayor of London's current consultation Draft London Plan and agrees the matters that the Council intends responding on as set out in the attached briefing paper (Appendix A) circulated to and discussed by members of the Council's Local Plan Members Advisory Group and Planning Committee.**
- 2. That the Committee authorise the Deputy Chief Executive, in consultation with the Leader, to finalise and send by 2nd March the Council's response to the Draft London Plan.**

The meeting finished at 8.40 pm

AGENDA ITEM 6



Policy & Resources Committee

11 June 2018

Title	Member's Item
Report of	Head of Governance
Wards	All
Status	Public
Enclosures	None
Officer Contact Details	Kirstin Lambert kirstin.lambert@barnet.gov.uk , 0208 359 2177

Summary

The report provides detail on the Member's Item submitted for the Policy and Resources Committee to consider and for instructions to be provided to Officers.

Recommendation

That the Policy and Resources Committee's instructions are requested in relation to the items submitted by Members of the Committee highlighted at section 1.1.

1. WHY THIS REPORT IS NEEDED

1.1. THE FOLLOWING MEMBERS ITEMS HAVE BEEN RECEIVED:

Councillor Barry Rawlings	Universal Credit I request a report is brought to the October Policy & Resources Committee reviewing the first five months of the full Universal Credit Service in Barnet, including operations and impact on residents.
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2. REASONS FOR RECOMMENDATIONS

- 2.1 No recommendations have been made. The Policy and Resources Committee is requested to give consideration and provide instruction.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 Not applicable.

4. POST DECISION IMPLEMENTATION

- 4.1 Post decision implementation will depend on the decision taken by the Committee.

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

- 5.1.1 When matters raised through a Member's Item are progressed, they will need to be evaluated against the Corporate Plan and other relevant policies.

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

- 5.2.1 None in the context of this report.

5.3 Legal and Constitutional References

- 5.3.1 The Council's Constitution illustrates that a Member, including appointed substitute Members of a Committee may have one item only on an agenda that he/she serves. Members items must be within the term of reference of the decision making body which will consider the item.

- 5.3.2 There are no legal references in the context of this report.

5.4 Risk Management

5.4.1 None in the context of this report.

5.5 Equalities and Diversity

5.5.1 Member's Items allow Members of a Committee to bring a wide range of issues to the attention of a Committee in accordance with the Council's Constitution. All of these issues must be considered for their equalities and diversity implications.

5.6 Consultation and Engagement

5.6.1 None in the context of this report.

6. BACKGROUND PAPERS

6.1 Email to Governance Service.

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AGENDA ITEM 7



Policy & Resources Committee

11th June 2018

Title	Business Planning 2018-24
Report of	Councillor Richard Cornelius
Wards	All
Status	Public
Urgent	Yes
Key	No
Enclosures	<p>Appendix A – Medium Term Financial Strategy (MTFS) to 2025</p> <p>Appendix B – Capital additions, deletions, slippage & accelerated spend</p> <p>Appendix C – Care Leavers consultation results</p>
Officer Contact Details	<p>Kevin Bartle – Director of Finance (S.151 Officer) kevin.bartle@barnet.gov.uk</p> <p>Jenny McArdle - Assistant Chief Executive jenny.mcardle@barnet.gov.uk</p> <p>Paul Clarke – Head of Finance (Deputy s151 Officer) paul.clarke@barnet.gov.uk</p>

Summary

This paper provides an update on the council's financial position and the process for updating the council's Medium Term Financial Strategy (MTFS) to 2023/4, to ensure that future challenges are managed and opportunities realised. The paper also sets out the need for amendments to the capital programme.

This report seeks approval from Policy and Resources Committee on the following:

- a) The approach to developing a new corporate plan for April 2019 and shaping options to address the financial gap in the medium term;

- b) Changes in the financial strategy of the organisation;
- c) Movements to the budget in 2018/19; and
- d) The need for amendments to the capital programme.

Recommendations

The report recommends that the Committee:

1. Notes the draft 2017/18 outturn position described in paragraph 1.2.1;
2. Approves the New Homes Bonus Reserve reassignment described in paragraph 1.2.5 and the associated proposed policy change set out in paragraph 1.2.6;
3. Notes the value of General Fund Balances described in paragraph 1.2.8;
4. Notes the current and forecast values of reserves set out in Table 1;
5. Notes the remaining in year pressure in 2018/19 of £9.5m as per paragraph 1.2.12;
6. Approves the transfers from contingency as set out in paragraphs 1.2.14-1.2.18;
7. Approves the debt write offs over £5,000 described in paragraphs 1.2.20 and 1.2.24;
8. Approves the revisions to the capital programme set out in paragraphs 1.3.3-4 and Appendix B;
9. Notes that proposals will be prepared to delete capital projects to fit within the approved budget, for consideration at an additional Policy and Resources Committee meeting proposed to be scheduled in July;
10. Notes the current capital receipts position set out in paragraph 1.3.7;
11. Notes that officers are exploring options to meet the cashflow pressure resulting from additional borrowing required to finance the Thameslink Brent Cross West station until the anticipated Business Rate increase repays scheme costs as set out in paragraphs 1.4.3-6;
12. Notes the gap within the Medium Term Financial Strategy (MTFS) to 2022, as set out at Appendix A and the assumptions underpinning this in para 1.5.22;
13. Notes the process for developing a new corporate plan and MTFS set out in paragraphs 1.5.19-21;
14. Notes the consultation results in Appendix C pertaining to a policy for offering council tax relief to care leavers based on guaranteed relief for their first two years of independent living and a presumption in favour of granting relief should it be required after that up to age 25; and recommend the policy to Council, to be implemented and backdated to 1 April 2018.

1. WHY THIS REPORT IS NEEDED

1.1 Executive Summary

- 1.1.1 Business planning and strategic financial management enable the council to plan its future direction on the basis of the best strategic fit between the resources available to meet stakeholder needs and expectations and the environmental conditions which prevail. This report sets out how the council intends to do this and the assumptions it has made.
- 1.1.2 In March 2018, the council set a Medium Term Financial Strategy (MTFS) covering the period 2018 to 2020. The MTFS for this period identified a total gross budget gap of £39.1 million; after mitigating actions and the planned use of reserves, this resulted in a balanced position for 2018/19 and a remaining gap of £5.9m anticipated for 2019/20.
- 1.1.3 The council's outturn position for 2017/18 reported a significant overspend of £7.9m. This outturn is stated after the net drawdown from specific and general earmarked reserves totalling £5.6m. The gross overspend for the council before the use of reserves was therefore £13.5m. This overspend is also in addition to the planned use of reserves for 2017/18 of £7.7m. Overall, the total call on revenue reserves and balances for 2017/18 has been **£21.2m**.
- 1.1.4 Given the scale of the 2017/18 overspend and the challenges of delivering some of the previously approved savings, the council now believes it has financial pressures which cannot be easily mitigated during 2018/19. Urgent action is already underway to resolve these in-year budget pressures, however the sum still requiring mitigation is **£9.5m**.
- 1.1.5 The council's Earmarked Reserves reduced to £75.8m at the end of 2017/18 and are expected to be £37.2m by the end of the current MTFS period. This balance includes both capital reserves and ringfenced amounts. The equivalent balance excluding these items is £41.6m at the end of 2017/18 reducing to **£7.6m** at the end of 2019/20.
- 1.1.6 The council's current capital programme totals £734.5m, of which £370.5m is planned to be funded by borrowing. The currently anticipated cost of borrowing is expected to exceed the revenue budget therefore it is recommended that the Chief Executive present options to reduce this over-programming to a July 2018 Policy and Resources Committee.
- 1.1.7 A further estimated £181.2m would be needed to fully fund the Thameslink station project which will necessitate increased borrowing, which has not yet been factored in to the council's financial plans. The cost of this borrowing could be funded by the DCLG grant prior to the agreed ringfencing of business rate growth coming on stream. A decision on the borrowing and associated financing of this will be sought from Policy and Resources Committee later this year after further consideration of the financing options.

- 1.1.8 The updated MTFS shows an anticipated budget gap of £42m to 2021/22. High level calculations estimate this to be **£62m** when extended out to 2024/2025. The council is working on a Priorities and Spending Review project to identify how the organisation will strategically respond to this significant challenge.
- 1.1.9 The Children's Services Improvement Action Plan recognises the need to improve outcomes for care leavers, and in particular to ensure that they have access to appropriate discretionary funds and reliefs, improve outcomes and ensure they are adequately prepared for independent living. Following Policy and Resources Committee on 13 February 2018, the Deputy Chief Executive has consulted on a policy for offering council tax relief to care leavers based on guaranteed relief for their first two years of independent living. Consultation responses were strongly supportive of the change and therefore a recommendation is included within this paper to endorse the change to Full Council.

1.2 Budget Management 2018/19

Revenue Outturn for 17/18

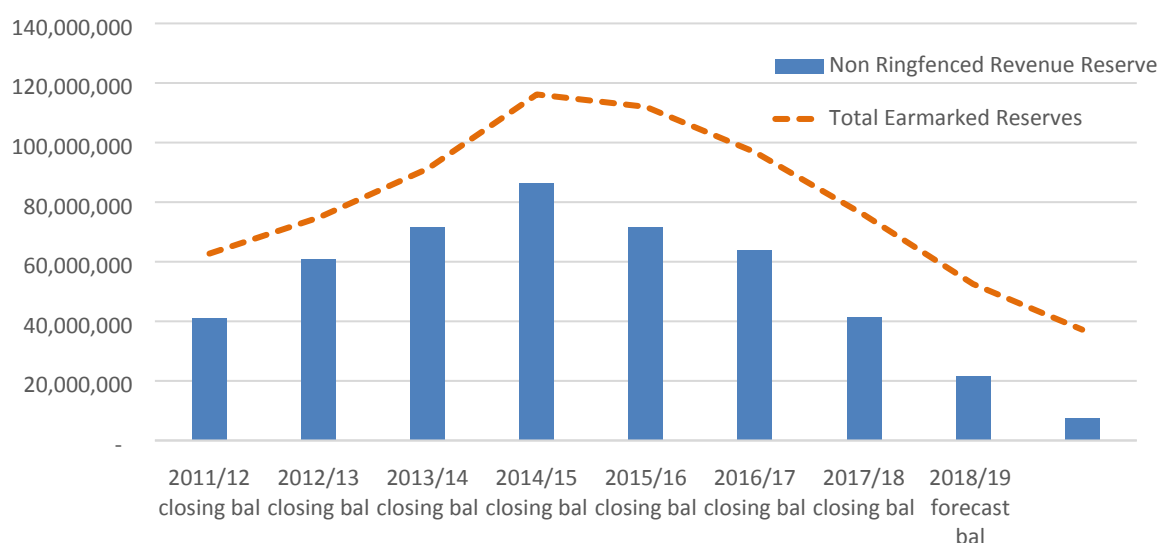
- 1.2.1 A detailed analysis of the 2017/18 outturn will be presented to the Financial Performance and Contracts Committee in July 2018. However, Policy and Resources Committee are asked to note the high level position. As at Quarter 3, the council's forecast outturn position was an overspend of £6.6m before the use of reserves or balances. By year-end this position had deteriorated to a gross £13.5m; specific and general earmarked reserves totalling £5.6m were then applied resulting in a net overspend of **£7.9m**. This overspend is in addition to the planned use of reserves for 2017/18 of £7.7m. The total net revenue call on reserves and balances for 2017/18 was, therefore, **£21.2m**. The ongoing impact of this together with planned mitigations are discussed from paragraph 1.2.9.

Reserves and General Fund Balances

- 1.2.2 A Local Authority has a variety of types of reserves and balances. Some of these are available to use (such as Earmarked Reserves), and some of them are not available (such as those created when the valuation of a property increases). The only two sources of funds available to support the General Fund position are Earmarked Reserves and General Fund Balances. Reserves are held to be allocated to fund specific non-recurrent expenditure and General Fund Balances are utilised to deal with any shocks or volatility such as in year overspends.
- 1.2.3 General Fund balances also include school balances. School balances are ringfenced and therefore unavailable to the council. All General Fund Balance

references in this report therefore refer to the non-schools element of the balance.

- 1.2.4 As a result of the outturn position described above, the council's Earmarked Reserves have reduced from £96.8m to £75.8m. Of the £75.8m, £22.6m relates to Capital – Community Infrastructure Levy and £11.6m is ringfenced for specific purposes. This leaves £41.6m available to support the revenue position. An analysis of revenue and total reserve movements since 2011 is shown below. This position is explained in more detail in Table 1 at the end of this section of the report. The movement in Earmarked reserves since 2011/12 is displayed on the graph below.



- 1.2.5 In arriving at £41.6m the Committee are requested to endorse a recommendation to realign the New Homes Bonus from capital to revenue. As a financial policy, the New Homes Bonus has previously been substantially allocated to the Capital Programme to support infrastructure investment. The value of this reserve is presently £19.3m. Given the precarious position in relation to remaining Earmarked revenue reserves it is recommended that the policy is changed and that the purpose of this reserve is reassigned to support the revenue position of the council. This would bring the council into alignment with many other authorities who have always supplemented revenue budgets with their New Homes Bonus receipts.
- 1.2.6 The preceding paragraph referred to the repurposing of the New Homes Bonus (NHB) reserve. The council also has an option to realign in year and ongoing NHB receipts fully to support revenue. The current MTFS is balanced by the planned use of reserves totalling £7.7m in 2018/19 and £10m in 2019/20. Owing to the trajectory of reduction in the council's reserves it is recommended that the full remaining value of NHB income is used to partially remove the planned drawdown of reserves. This decision would allow £5m of in-year NHB receipts to reduce the use of reserves used to balance the budget in 2018/19. This increases to £7.7m in 2019/20.

1.2.7 Should the New Homes Bonus reserve be reallocated to support the revenue position there will be a shortfall of funding in the Capital Programme. As such borrowing will need to be increased if we maintain the same level of capital programming, which carries a revenue implication. The approximate annual cost of realigning the £19.3m reserve will be £1m per year. The additional £5m per annum will also require an increase in revenue costs of £0.3m p.a. The total capital financing cost, therefore, of releasing the reserve for revenue use and of recognising an additional £5m income will be £1.3m in 18/19. This has the effect of reducing the amount that will need to be drawn down from reserves to balance the currently approved MTFS over 2018/19 by £3.7m. This treatment is included in the financial pressures discussed later in this report and is laid out in the MTFS at appendix A. Recommendation 2 seeks the Committees approval to adopt this approach.

1.2.8 At the start of 2017/18 General Fund balances totalled £9.6m. The overspend during the year would have depleted this value close to zero. The Section 151 Officer is responsible for setting an appropriate level of General Balances and has therefore made the decision to top up the balance to £15.1m so that the council begins the new year with sufficient insulation to shocks and other unexpected events. This top up was funded by the realignment of revenue reserves. The movement in General Fund Balances since 2011/12 is shown in the graph below.

	£m
General Fund Balance brought forward 1 April 2017	(9.614)
Outturn variance	7.886
Transfer from earmarked reserves	(13.355)
General Fund Balance 31 March 2018	(15.083)

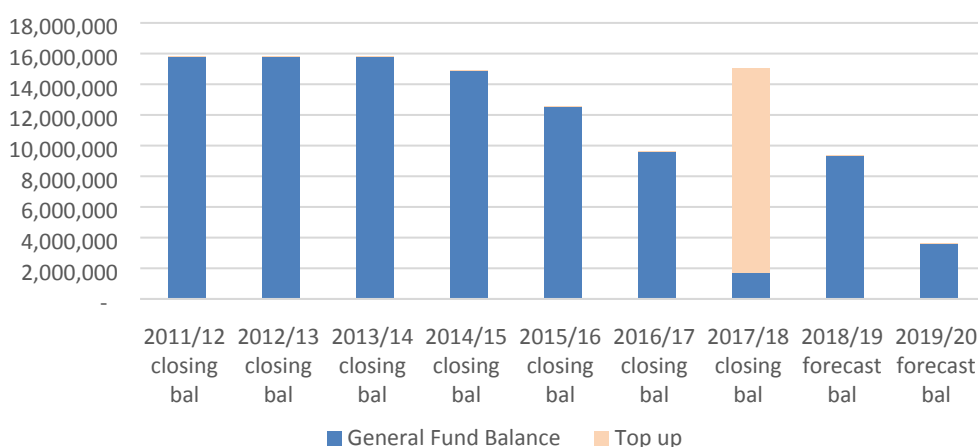


Table 1- Reserve Forecast

	2011/12 closing bal	2012/13 closing bal	2013/14 closing bal	2014/15 closing bal	2015/16 closing bal	2016/17 closing bal	2017/18 closing bal	2018/19 forecast bal	2019/20 forecast bal
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Capital - CIL	8,924,656	3,027,452	3,664,975	9,364,635	19,259,530	17,753,920	22,560,317	22,560,317	22,560,317
<u>Revenue</u>									
New Homes Bonus	1,517,737	14,955,817	21,572,154	29,455,671	19,621,845	20,392,926	19,330,163	4,934,852	4,934,852
MTFS	-	-	-	-	-	15,424,949	11,044,689	9,950,000	-
Revenue - Uncommitted	5,100,000	6,516,567	9,576,837	7,944,327	13,434,291	9,160,336	2,612,476	2,612,476	2,612,476
Transformation	10,000,393	13,543,810	11,292,515	15,079,268	12,652,758	6,753,854	3,432,276	1,716,138	-
Revenue - Service Specific	24,424,405	25,964,033	29,325,102	34,029,618	25,819,407	12,102,471	5,143,513	2,571,756	-
Non Ringfenced Revenue Reserves	41,042,535	60,980,228	71,766,608	86,508,885	71,528,301	63,834,536	41,563,117	21,785,222	7,547,328
<u>Ringfenced – i.e. unavailable for general use</u>									
DSG	2,108,940	2,083,188	3,427,665	4,855,544	5,019,442	4,224,809	500,770	500,770	500,770
Collection Fund Smoothing Reserve	-	-	-	-	-	-	2,482,000	2,482,000	2,482,000
Housing Benefits	4,148,489	3,437,036	7,179,995	7,771,955	8,035,718	1,900,365	3,542,449	3,542,449	3,542,449
North London Sub Region	3,267,002	2,737,879	1,228,462	794,316	642,599	604,835	567,441	567,441	567,441
PFI	3,234,783	2,544,612	3,116,871	3,715,079	4,265,492	4,286,350	-	-	-
Public Health	-	-	831,000	1,209,000	1,335,678	2,358,037	2,391,881	-	-
Special Parking Account	409	409	409	1,936,000	1,914,000	1,837,000	2,149,000	1,074,500	-
Total Ringfenced	12,759,623	10,803,124	15,784,402	20,281,893	21,212,929	15,211,395	11,633,541	8,167,160	7,092,660
Total Earmarked Reserves	62,726,814	74,810,804	91,215,985	116,155,413	112,000,760	96,799,852	75,756,976	52,512,700	37,200,305

Emerging Financial Pressure

- 1.2.9 Given the scale of the outturn and recurrent nature of many of the pressures identified, Chief Officers have been working on dealing with the emerging pressures to the MTFS. This proactivity in dealing with problems before Q1 forecast numbers are produced will maximise the scope for swift and targeted action and give the authority the best chance to balance its in-year position by the 31st March 2019.
- 1.2.10 Following some robust mitigating actions, the remaining unbudgeted pressures are currently forecast to total £11m during 2018/19.
- 1.2.11 The council will seek to further reduce this pressure by ensuring that its possible external funding sources are maximised. It is anticipated that an additional £1.5m income can be achieved by reviewing its recharges to external sources and the identification of additional income within the Environment group of services.
- 1.2.12 Assuming all the anticipated actions are put in place the net pressure remaining is therefore estimated at **£9.5m**. Chief Officers are continuing to work to mitigate this pressure and recognise their responsibilities to do so under the authority's financial regulations. Progress in achieving this will be closely monitored, supported and regularly reported by the s151 Officer and his team. Additional possible actions include control and review of all agency placements and a potential vacancy freeze within the organisation.
- 1.2.13 At present, none of the activity planned or envisaged to mitigate this requires a policy decision therefore this report does not include any recommendations required to achieve these outcomes. Any future recommended policy changes will be presented to the appropriate committee.

Transfers from contingency

- 1.2.14 Each year the council sets aside an amount of money in contingency to cover costs of pay awards and inflation. In accordance with the council's financial regulations, budget virements from contingency over £250,000 have to be approved by the Policy & Resources Committee.
- 1.2.15 The improved better care grant and adult social care support grant £6.2m was announced as part of the final Local Government Finance Settlement. This funding was included within the Business Planning report in February 2018 and now needs Committee approval to allocate to Adults Social Care.
- 1.2.16 An on-going allocation from contingency for pressures in Family Services was also included within the Business Planning report. An allocation of £1.8m to the Family Services budget is now recommended for approval.

1.2.17 In addition to the specific allocations above, the Committee is requested to approve an on-going allocation from contingency to cover employee pay inflation across the council in line with the table below.

Service Area	£
Assurance	41,260
Cambridge Education	122,020
Children's Family services	413,950
Commissioning	140,250
CSG	264,290
Parking Infrastructure	21,100
Street Scene	447,580
Contingency	(1,450,450)

1.2.18 The pressures described in paragraph 1.2.10 are calculated after these additional allocations.

Additional funding

1.2.19 Additional business rates income of £1.4m has been calculated as a result of increased estimated benefits through the London Business Rates Pool. The Committee is requested to allocate this additional income to contingency in order that it may be allocated to unforeseen pressures in year. This will leave an unallocated contingency value of £2.1m.

Write Offs

1.2.20 Following the meeting of the Assets, Regeneration and Growth Committee on the 30th November 2015 a recommendation was made for the Policy and Resources Committee to write off £3.5m of a £5m loan to Genesis Housing Association as part of a £6m package to buy out their contractual interests in plot 8 Grahame Park in order to locate the council's new offices on the land. The council has provided £3.5m within its bad debt provision to recognise that this amount is not receivable and a recommendation is seeking this Committee's approval to write off this value.

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

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

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

1.2.23 Depending on the type of debt, customers and circumstances, the use of debt collectors or issuing proceedings in the County Court is considered. Every case

is treated individually, hence the circumstances of each debt is assessed prior to taking a decision on the recovery of the debt in conjunction with the delivery unit.

- 1.2.24 Sundry debt write-off's totalling £0.06m relating to former Temporary Accommodation tenant's arrears are requested for write off, the details of which can be seen in the table below.

ACCOUNT NO	AMOUNT	TERMINATION DATE	REASON
170062340	£5,469.51	04/04/11	Statute Barred
170130025	£7,149.54	08/05/11	Statute Barred
170136468	£5,919.09	26/05/11	Statute Barred
170105482	£7,049.40	10/07/11	Statute Barred
170130160	£7,551.06	08/08/11	Statute Barred
170133897	£5,232.00	17/07/11	Statute Barred
170106280	£6,299.29	18/09/11	Statute Barred
170146398	£7,513.53	03/10/11	Statute Barred
170134588	£7,121.64	08/12/11	Statute Barred
TOTAL	£59,305.06		

1.3 Capital Programme

- 1.3.1 Investing in the future is a key strand of the council's response to the scale of the challenge facing Local Government from funding reductions and increasing demand. Barnet will not be able to support the growth needed to meet the needs of a growing population and ensure the council's financial independence without investment for the future. As well as ensuring the borough's local infrastructure remains fit for purpose and supporting the growth agenda, the capital programme also includes a number of additions that enable the achievement of the revenue savings proposals. The current approved capital programme totals £734.5m up to 2025, funded from a combination of capital receipts, borrowing, revenue and external grant contributions.

Changes to the Capital Programme

- 1.3.2 Additions and deletions to the capital programme are required to be approved by Policy and Resources Committee.
- 1.3.3 The following additions have been identified for approval.

Project	Cost £'000	New / Addition	Reason	Funding
Land Release Fund –	1,500	New – subject to approval by ARG on the	Additional, ringfenced capital funding has been awarded to perform decontamination of	Grant

Pinkham Way		14 th of June 2018.	land at Pinkham way to support the development of residential properties	
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- 1.3.4 Appendix B shows the additions, deletions, slippage, accelerated spend in relation to the 2017/18 capital programme and associated changes to funding. This is summarised in the table below:

	2017/18			2018/19		
Directorate	Adds/ Deltns	Net Slippage	In year Change	Adds/ Deltns	Net Slippage	In year Change
Adults and Communities	272	(71)	201	-	71	71
Commissioning	-	(3,079)	(3,079)	-	3,079	3,079
Education and Skills	-	(13,285)	(13,285)	-	13,285	13,285
Family Services	(648)	(2,332)	(2,980)	-	2,332	2,332
Housing Needs Resources	-	(5,605)	(5,605)	-	5,605	5,605
Parking and Infrastructure by Service	(11)	(314)	(325)	-	314	314
Regional Enterprise	(582)	(35,973)	(36,555)	-	35,973	35,973
Streetscene	(5)	(2,218)	(2,223)	-	2,218	2,218
HRA	196	(1,232)	(1,036)	-	1,232	1,232
Total Capital Movements	(778)	(64,109)	(64,887)	-	64,109	64,109

Capital Financing

Capital Programme Affordability

- 1.3.5 The revenue budget allocated to fund borrowing is less than required to support the existing capital programme. Given the lack of scope to increase revenue budget to support this over programming it is recommended that the Chief Executive presents options to the July 2018 Policy and Resources Committee to reduce the capital programme to fit within affordability levels. Some capital schemes (such as the development of new affordable housing) are immediately 'self-funding', and others lead to direct revenue benefits. The focus of the recommended reductions will therefore need to be those schemes which are a

net drain on revenue. Community Infrastructure Levy will still be fully available to support investment in essential infrastructure.

Capital receipts

- 1.3.6 The Capital Programme is funded by an assumption of £75.017m in Capital Receipts. The profiling of the receipt of this income can often be difficult to predict. Where receipts are received ahead of plan it is financially advantageous to utilise them instead of borrowing and therefore minimising the revenue impact of the Capital Programme.
- 1.3.7 For 2018/19 the General Fund Capital Receipts requirement is substantial at £52.5m. At the start of the year the council held £1.4m in General Fund Capital Receipts. This means that an additional £51.1m is required to be generated in year to meet the financing requirements of the current Capital Programme.
- 1.3.8 The consequences of not achieving this level of receipts would be that the council will need to borrow more to meet the council's commitments. As discussed in earlier paragraphs this would have a detrimental impact on the revenue position of the council to the extent of £0.053m per £1m additional borrowing. This would increase the financial pressure discussed in paragraph 1.2.12.
- 1.3.9 The Capital Receipts position will be monitored closely and regular updates provided to both the Policy and Resources Committee and the Financial Performance and Contracts Committee.

1.4 Thameslink - Brent Cross West Station

- 1.4.1 The current total council Capital Budget for Thameslink is £70.6m as approved in September 2017 and is fully funded by a grant from MHCLG. Of the £70.6m budget, £35.2m has been committed to external parties, leaving an overall available budget of £35.4m.
- 1.4.2 The current anticipated cost envelope of the station project is £281m and the annual commitment profile for this is shown in the table below. The original Business Rates model indicated that this can be repaid in 13 years, within the overall envelope of the grant funding agreement.

BXT Commitment Profile (£m)

2017/18	2018/19
£35.2	£245.8

- 1.4.3 Based on the commitment profile the £70.6m approved budget will cover BXT project commitments until November 2018. At that point, further council funding of £181.2m is needed which would necessitate increased borrowing.

- 1.4.4 The revenue cost of this increased borrowing peaks at £9.7m per year. Officers are currently exploring the most effective way to deploy the various available funding streams to ensure that there is no detrimental impact on the council's revenue position.
- 1.4.5 The Brent Cross West Station is needed to facilitate the BXS development. The Committee confirmed its commitment for the council together with HM Government and the GLA to fund and build the Thameslink Station on 21 July 2014 and 16 May 2016. This was subject to the satisfaction of six tests agreed by the Committee on 21 July 2014 in order for the council to assure itself that the prudential code can be satisfied before borrowing could be undertaken for the Thameslink Station. These tests are:
- a) A guarantee of ring-fencing (or equivalent assurance) of business rates received from HMT and CLG (100% if fully funded from business rates, 50% if partially funded from business rates and partially funded by grant);
 - b) Confirmation that business rates will still pay back borrowing in 25 years if estimates of total business rate expansion are reduced by 40%;
 - c) That interest costs are capped at no more than 4.5%;
 - d) That the expansion of Brent Cross Shopping Centre has reached the "point of no return", as verified independently;
 - e) That a fixed price has been received from Network Rail for the station build; and
 - f) That the general fund is in a sustainable position at the point of decision.
- 1.4.6 A detailed report will be prepared for Policy and Resources Committee later this year detailing the funding strategy against the six financial tests agreed by the Committee to consider whether to make the required capital commitment to fund the station project.

1.5 Medium Term / Strategic Planning for Financial Sustainability

A New Corporate Plan and MTFS

- 1.5.1 The updated MTFS at Appendix A displays the currently anticipated £9.5m overspend discussed earlier in this report. The document calculates an anticipated budget gap of £42m to 2021/22. High level calculations estimate this to be £62m when extended out to 2023/2024. Work to resolve this gap and address the medium-term challenge of financial sustainability is underway and is discussed further in this section of the report.
- 1.5.2 The MTFS takes into account national economic factors such as forecasts to Government spending and inflation, along with local factors which will have an impact on the council's budget such as population change, housing and development and other demand pressures on services.

- 1.5.3 Given the uncertainty with local government funding beyond 2020 due to the changes in Revenue Support Grant and Business Rates, the MTFS is prepared on the basis that government funding will continue as per 2019/20.
- 1.5.4 In light of the new administration, it is proposed to develop a new corporate plan for April 2019. The Conservative manifesto provided a range of indicative policy steers which need to be worked up in more detail to be reflected in the corporate plan and MTFS. These include
- keeping council tax low;
 - getting a good deal for Barnet, from policing to fair funding;
 - protecting and enhancing the local environment and green spaces;
 - investing to ensure that we build successful communities;
 - pushing for parity in mental health;
 - supporting community cohesion;
 - reviewing the way the council works and the best ways to deliver good services and value for money.
- 1.5.5 We propose developing a five-year corporate plan (2019-2024), underpinned by a rolling detailed three-year financial plan, and a financial forecast for years 4 – 5.
- 1.5.6 This ambition with regard to timing means following the usual budget setting timetable, e.g.
- June – September: focused work on the financial options for the next three years and a refresh of the vision, purpose and priorities of the corporate plan, including an update to P&R Committee in July.
 - August - September: informal sharing and development of options with committee chairs.
 - October – November: submission of proposals and draft corporate plan to committees.
 - February – March: sign off by P&R Committee and Council.
- 1.5.7 Whilst it is a very tight timescale for developing the corporate plan, the benefits of this approach are as follows
- a. Supports a “refresh” of our thinking and strategy to reflect our context, view of the future, and take account of the new administration;
 - b. Supports closer integration of the MTFS and corporate plan and a focus on shoring up the financial position for the next three years;
 - c. Shapes an updated narrative for partners and residents;
 - d. Provides a public document that can support a lobbying position;
 - e. Takes control of our situation; rather than waiting for certainty that might not come from central government.
- 1.5.8 Given the financial issues we face, any corporate plan has to be a costed plan, and directly aligned with the MTFS.

Responding to the financial sustainability challenge: Priorities & Spending Review

Our journey to date and learning

- 1.5.9 The Priorities & Spending Review (PSR) 2015-2020 was the council's strategic response to the financial challenge facing the council in 2015. The process sought to address the dual challenges of rising demand and budget reductions, and resulted in proposals for c. £51m of cumulative savings, against a target of £72m for the five-year period. Of the £51m, around 50% came from efficiencies and just 20% was categorised as "demand management". The remaining gap of £21m was closed using reserves.
- 1.5.10 The world has changed significantly in recent years. We are in a period of unprecedented uncertainty for local government and we face unanswered questions about the future funding and the critical issues for the sector, not least the sustainability of social care for adults and children.
- 1.5.11 We recognise that we need a different approach to financial sustainability: budgets have already been reduced; a range of services and functions have been outsourced to external providers; and the level of reserves for transformation and addressing gaps is significantly lower. This means our 'pie' and our room to manoeuvre are both smaller from the outset.
- 1.5.12 Simply creating a smaller, leaner, slicker version of what we have now will not create a sustainable model. We need to reimagine the council for the future. That inevitably has implications for how we frame the challenge, our strategic approach to finding solutions, and the choices we will need to make.

Strategic Response

- 1.5.13 There are some key ideas that shape our thinking about the strategic response to the challenge we face on financial sustainability.
- i. We will need to challenge our assumptions and ask fundamental questions about the role of the Council and the role and aspirations of residents and businesses.
 - ii. We exist in a wider system. The challenge and opportunities facing the council do not sit neatly within the its organisational parameters. There is a need to explore not only what is in the council's direct control but also what is within the sphere of influence, whether locally, regionally, or nationally. That includes drawing in partners and communities to be part of the solution.
 - iii. The council's biggest areas of spend are mainly demand led (e.g. adults, children's and a lot of housing) and, therefore, an approach to managing demand effectively will have the biggest impact. Much demand is directly and indirectly caused by behaviour, which means we have an opportunity to prevent or reduce it.
 - iv. There's a win:win scenario where better outcomes cost less. For example, increasing the number of young adults with LD in employment can improve their outcomes and independence whilst reducing demand on social care budgets.

1.5.14 Our proposed strategic response incorporates **five key strands** for working towards financial sustainability and addressing the budget gap, which build on our work and learning to date.

1. **Growth and Development** – leveraging the social and economic benefits from regeneration, development, and inclusive growth, to improve outcomes and support the council's move to financial independence.
2. **Managing Demand** – taking an outcomes-based approach to reducing demand through effective early intervention and prevention. This includes helping people to help themselves; building community capacity and social infrastructure; meeting needs differently; and reducing and reshaping demand.
3. **Efficiency and Productivity** – maximising our use of resources, whether that is our staff, ways of working, contracts, providers, or delivery models.
4. **Income Generation and Commercialisation** – increasing the council's ability to generate its own revenue and exploit commercial opportunities.
5. **Decommissioning** - stopping activity or spend that does not align with council priorities or does not deliver value for money.

1.5.15 Additionally, we will look at exploiting the potential of technology in all five areas, for example through automation or meeting needs differently.

1.5.16 The underpinning assumptions of this approach include

- We continue to take a pragmatic approach to the delivery of services through a mixed economy model, but retaining strategic control.
- There is a very limited level of resources available for transformation.
- We continue to meet our legal and statutory responsibilities.

Implications of the Approach

1.5.17 There are key implications of this approach, if the council is to be successful.

- a. Considering more radical options for the future of local services.
- b. Making decisions to stop existing services or activities.
- c. Changing the relationship with our communities, partners and stakeholders, and working collaboratively to co-produce solutions.
- d. Looking outward to inject creativity and innovation into our thinking, especially on technology.
- e. Reframing the problem: how do we best use our resources to improve outcomes for people and place so they don't need specialist council services and become net contributors to Barnet.
- f. Needing to gain better insight into the drivers of demand to inform effective, targeted, intelligence based investment in early intervention and prevention.
- g. Pursuing income generation, growth and commercial opportunities with a primarily commercial mindset;

- h. Reviewing the organisational design of council and workforce model to ensure they are fit for purpose.

1.5.18 The financial position of the council means it is critical that we apply a very high degree of rigour and challenge to the options proposed for savings or income, in particular, the feasibility and quantification of financial benefits and any 'business case' for investment.

Making it Happen: practical steps

1.5.19 A refreshed PSR process was initiated in autumn 2017 to begin exploring the options for addressing the financial gap to 2024. Shortlisted options are presently being developed into outline business cases, with indicative financial benefits, but there is significantly more work to do in order to close the £62m gap.

1.5.20 The next phase of the PSR process will build on the work to date but also focus on shaping the options for the MTFS, including the immediate pressures, and inform the corporate plan. This will include:

- A review and refresh of the existing vision, purpose, and priorities for the corporate plan, taking account of the new administration's manifesto and the council's financial challenge.
- Updating the financial baseline: the level of budget and reserves with which we expect to start 2019/20.
- Applying planning targets to each service area to provide a sense of scale for developing options.
- Revisiting the long list of options generated through phase one of PSR.
- Further detailed work on the question of demand, to include quantifying avoidable demand; assessing the impact of current early intervention and prevention; and modelling the demand we can afford.
- Focused challenge sessions led by the Chief Executive and S151 Officer on decommissioning spend / activity.
- Temporarily diverting a small cohort of officers to focus full time on the in-year and medium term financial challenge. Without additional resources, this means some activities may need to be put "on hold" for a short period. Strategic Directors will take responsibility for overseeing this.

1.5.21 Further work is underway to develop the detailed activity plan and timescales to progress this work, including feasibility of options for engagement in addition to statutory consultation. This will be shared at a July 2018 P&R Committee.

The MTFS Assumptions

1.5.22 The main assumptions within the MTFS are:

- **Pressures:** an assumption has been made in the MTFS for future demographic pressures specifically for Adults and Children's Social Care costs. This is based on the latest demographic projections from the GLA and specific data from the Projecting Older People Population Information System (POPPI) and the Projecting Adult Needs and Service Information System (PANSI). Based on existing budget monitoring, underlying budget pressures have also been factored into the budget;
- **Inflation (pay):** the agreed pay award by Greater London Provincial Council is assumed for 2019/20 and then 1% increase for future years;
- **Inflation (non-pay):** contractual inflationary amounts have been included based on the CPI inflationary rates announced in the Spring statement 2018 by Treasury.
- **North London Waste Authority (NLWA) levy:** figures for the NLWA levy are based on the latest information from the NLWA.
- **Capital financing costs:** the council's borrowing requirement has been reviewed, taking into account the latest projections on the current capital programme spend;
- **Concessionary fares:** increases have been projected in line with demographic changes of the 60+ population in Barnet;
- **Business rates:** The assumption on business rates is that the pool will be in place for 2018/19 only and so future income is based on the original split of the council retaining 30% of the share of income which is assumed to be increased by the CPI rates.
- **Revenue Support Grant:** reflects the funding settlement announced for 2019-20
- **Social Care Precept:** the council has the flexibility of raising a maximum of 6% between 2017/18 and 2019/20 via the social care precept to spend exclusively on Adults social care, including care for the elderly. In 2017/18, the council set the Social Care Precept at 3% on council tax and a further 3% for 2018/19. Therefore 0% social care precept has been assumed from 2019/20.
- **General council tax:** a 2.99% increase has been assumed each year from 2019/20 onwards.

1.5.23 There are known risks which have not been factored into the current MTFS, these are:

- **Impact of not achieving 50% recycling rates:** the estimated impact of the new facility on the borough levy is an increase of £6m from 2021 onwards. However, this is predicated on achieving 50% recycling rate. Our current rate is c39% and whilst there are initiatives planned to achieve behaviour change through education and information, achievement of this will still require a change in current practices;
- **Demographic increases and increases in complexity of social care packages:** the MTFS factors in an increase in demographic pressures, however if the increase that services experience are more than this, then this could result in an overspend across those services impacted, as seen in 2017/18 in Adults services;

- Business rates: on the current business rates retention scheme, there is a risk that the current deficit will continue to grow. The increase in permitted development schemes will add to this pressure;
- Non-pay inflation: the current MTFS assumes a CPI increase in contract spend, however inflation on some of the contracts is being assessed at 4%, if this is the case on most of the contracts, then this could result in an overspend across services.

1.6 Council Tax Relief for Care Leavers

- 1.6.1 The Children's Services Improvement Action Plan recognises the need to improve outcomes for care leavers, and in particular to ensure that they have access to appropriate discretionary funds and reliefs, improve outcomes and ensure they are adequately prepared for independent living.
- 1.6.2 A briefing paper on council tax reduction for Barnet care leavers was finalised and presented to Corporate Parenting Advisory Panel on 3 February 2018.
- 1.6.3 The proposal was approved at Policy & Resources Committee on 13 February 2018 to authorise the Deputy Chief Executive to consult on a policy for offering council tax relief to care leavers based on guaranteed relief for their first two years of independent living, and a presumption in favour of granting relief should it be required after that up to age 25; and instruct the Deputy Chief Executive to bring the policy to a future meeting of the committee for approval.
- 1.6.4 The Consultation ran from 21st March to 20th May 2018 and received:
- 15 online survey responses from care leavers
 - 4 facilitated discussion responses from care leavers
 - 4 survey responses from other Barnet residents
- 1.6.5 The total number of care leavers that responded (n=19) equates to 8% of the total number of 18-25-year-old care leavers as at March 2018.
- 1.6.6 The majority of respondents strongly agree or agree with each element of the proposed policy. The recommendation is therefore to implement the Care Leaver council tax Reduction scheme, backdated to 1 April 2018.
- 1.6.7 A full breakdown of the consultation results can be found in Appendix C.

2. REASONS FOR RECOMMENDATIONS

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

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1** Should recommendation 2, specifically to repurpose the New Homes Bonus reserve to revenue, not be taken, the remaining non-ringfenced revenue reserves would be £22.2m of which £10m is already committed to underpin the 2019/20 budget.

4. POST DECISION IMPLEMENTATION

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

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

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

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

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

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

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

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

5.3 Social Value

- 5.3.1** None applicable to this report, however the council has to take into account the requirements of the Public Services (Social Value) Act 2012 to try to maximise

the social and local economic value it derives from its procurement spend. The Barnet living wage is an example of where the council has considered its social value powers.

5.4 Legal and Constitutional References

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

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

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

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

Revenue Virements

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

Capital Virements

<p>Performance and Contract Management approval is required for all capital budget and funding virements and yearly profile changes (slippage or accelerated spend) between approved capital programmes i.e. as per the budget book. The report must show the proposed:</p> <p>i) Budget transfers between projects and by year;</p> <p>ii) Funding transfers between projects and by year; and</p> <p>iii) A summary based on a template approved by the Section 151 Officer</p>
<p>Policy and Resources Committee approval is required for all capital additions to the capital programme. Capital additions should also be included in the quarterly budget monitoring report to Performance and Contracts Committee for noting.</p>
<p>Funding substitutions at year end in order to maximise funding are the responsibility of the Section 151 Officer.</p>

6. Risk Management

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

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

7. Equalities and Diversity

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

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

8. Corporate Parenting

- 8.1.1 In July 2016, the Government published their Care Leavers' strategy Keep on Caring which outlined that the "... [the government] will introduce a set of corporate parenting principles that will require all departments within a local authority to recognise their role as corporate parents, encouraging them to look at the services and support that they provide through the lens of what a reasonable parent would do to support their own children.'
- 8.1.2 There are seven corporate parenting principles that local authorities must have regard to when exercising their functions in relation to looked after children and young people, as follows:
1. to act in the best interests, and promote the physical and mental health and well-being, of those children and young people;
 2. to encourage those children and young people to express their views, wishes and feelings;
 3. to take into account the views, wishes and feelings of those children and young people;
 4. to help those children and young people gain access to, and make the best use of, services provided by the local authority and its relevant partners;
 5. to promote high aspirations, and seek to secure the best outcomes, for those children and young people;
 6. for those children and young people to be safe, and for stability in their home lives, relationships and education or work; and;
 7. to prepare those children and young people for adulthood and independent living.
- 8.1.3 To ensure that Barnet has due regard to the Principles and improves on the delivery of corporate parenting to children in care and care leavers in Barnet, the administering of council tax relief has been reviewed and a proposed policy consulted on to help care experienced young people have a more successful transition to independence, through the provision of guaranteed relief in their first two years of independent living.
- 8.1.4 Young people, key services and senior officers have developed the proposed policy, which was amended based on feedback received from the care leavers that responded to the public consultation.
- 8.1.5 The introduction of the care leavers council tax policy will help improve the emotional and physical health of care experienced young people and contribute to the achievement of the best outcomes for this cohort.

9. Consultation and Engagement

- 9.1 In terms of service specific consultations, the Council has a duty to consult on proposals to vary, reduce or withdraw services in the following circumstances:
- where there is a statutory requirement in the relevant legislative framework;
 - where the practice has been to consult or where a policy document states the council will consult then the council must comply with its own practice or policy;

- exceptionally, where the matter is so important that there is a legitimate expectation of consultation.

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

10. Insight

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

11. Background Papers

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

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Barnet

Resources vs. Expenditure	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m
Resources	290.6	280.3	285.5	294.6
Expenditure	304.1	303.3	319.8	336.6
Net Position	(13.5)	(23.0)	(34.3)	(42.0)
Funded from reserves	4.0	3.7	0.0	0.0
Net position after reserves	(9.5)	(19.3)	(34.3)	(42.0)

Forecast Expenditure	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m
Base Expenditure Budget	277.197	304.091	303.305	319.806

Inflation - Pay	1.700	2.233	0.900	0.900
Inflation - Non Pay	3.651	3.015	3.402	3.467
Capital Financing Costs	-	0.500	1.000	1.000
Cap Fin costs to fund NHB	1.289	0.410		
Public Health	(0.454)	(0.454)	-	-
Pension Contributions	0.440	0.450	0.250	0.250
Statutory / Cost Drivers Sub Total	6.626	6.154	5.552	5.617

Contingency - general risks	2.146	4.853	4.550	4.797
Transfer to smoothing reserve	4.390	(4.390)	-	-
North London Waste Authority levy	1.229	1.915	1.000	1.000
Service Pressures - MTFS	4.986	3.594	5.000	5.000
Additional Service Pressures Identified	10.958	-	-	-
Highway Mtce	-	2.100	-	-
Family Services Duty & Assessment	0.600	-	-	-
IBCF	-	-	-	-
IBCF & Adult Social Care grant	6.291	1.600		
Apprenticeship Levy costs to Schools	(0.400)	-	-	-
Concessionary Fares / Other Levies	-	-	0.400	0.400
Service Expenses sub total	30.200	9.672	10.950	11.197

Total Forecast Expenditure	314.023	319.917	319.806	336.620
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Forecast Resources	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m
New Formula Grant Funding				
Business Rates (inc. S31 Grants)	78.232	39.333	36.366	37.093
Business Rates Localisation	5.400			
Business Rates Top Up / Tariff	(8.672)	19.401	22.536	22.987
Internal Levy Adj	0.800			
RSG	-	6.182	3.856	3.849

New Formula Grant Sub Total	75.760	64.916	62.758	63.930
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Council Tax

CT Income	163.722	166.620	168.639	170.158
SC Precept	5.067	5.067	5.067	5.067
CT Increase 2019/20		5.226	5.226	5.226
CT Increase 2020/21 & 2021/22			5.478	11.184
Total Council Tax	168.789	176.912	184.410	191.635
CT Collection Fund Contribution	7.732	0.3		
PFI Credit	2.235	2.235	2.235	2.235
New Homes Bonus	9.382	9.730	10.019	10.921
Housing and CT Benefit Admin	1.801	1.621	1.459	1.313
Public Health	17.156	16.703	16.700	16.700
ASC Grant / IBCF	7.744	7.891	7.891	7.891

Other Funding Sub Total	214.839	215.392	222.714	230.696
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Total Income From Grant and Council Tax	290.598	280.308	285.472	294.626
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Budget Gap before Savings and Pressures	(23.425)	(39.609)	(34.334)	(41.994)
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Service Related Savings	8.989	12.174		
HRA Contribution	0.500			
Mitigating Factors	0.443	4.438		
Proposed Savings	9.932	16.612	0.000	0.000

Budget Gap after Savings	(13.493)	(22.997)	(34.334)	(41.994)
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Balances to / from Reserves				
Specific reserves contribution 2018/19	4.04			
Specific reserves contribution 2019/20		3.720		
Reserves Sub Total	4.040	3.720	0.000	0.000

Total Income From Grant and Council Tax	(9.453)	(19.277)	(34.334)	(41.994)
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Directorate	Year	Capital Programme	Funding Type	Additions/ Deletions	Slippage/Accel erated Spend
				£'000	£'000
Adults and Communities	2017/18	CCTV Installation	RCCO/ MRA		(71)
Adults and Communities	2017/18	Investing in IT	Capital receipts	272	
Commissioning	2017/18	Depot relocation	Capital receipts		130
Commissioning	2017/18	Community Centre - Tarling Road	Borrowing	(450)	
Commissioning	2017/18	Community Centre - Tarling Road	Capital receipts	(265)	
Commissioning	2017/18	Community Centre - Tarling Road	S106	(516)	
Commissioning	2017/18	Community Centre - Tarling Road	Capital Reserve	1,658	
Commissioning	2017/18	Community Centre - Tarling Road	Borrowing	(427)	427
Commissioning	2017/18	Asset Management	Grants/contribution	573	
Commissioning	2017/18	Asset Management	Capital Reserve	(573)	38
Commissioning	2017/18	Centre for Independent Living & Libraries	Grants/contribution		(1)
Commissioning	2017/18	Centre for Independent Living & Libraries	Capital Reserve		(3)
Commissioning	2017/18	ICT strategy	Grants/contribution	1,928	
Commissioning	2017/18	ICT strategy	Capital receipts	(1,545)	(210)
Commissioning	2017/18	ICT strategy	Capital Reserve	(383)	
Commissioning	2017/18	Customer Services Transformation Programme	Capital receipts		(168)
Commissioning	2017/18	Customer Services Transformation Programme	Capital Reserve	(901)	
Commissioning	2017/18	Customer Services Transformation Programme	Grants/contribution	901	
Commissioning	2017/18	Implementation of Locality Strategy	Capital receipts		26
Commissioning	2017/18	Sport and Physical Activites	Capital Reserve		125
Commissioning	2017/18	Sport and Physical Activites	Grants/contribution		(750)
Commissioning	2017/18	Office Build	Capital receipts	2,700	
Commissioning	2017/18	Office Build	Grants/contribution	2,300	
Commissioning	2017/18	Office Build	Borrowing	(5,000)	(2,693)
Education and Skills	2017/18	Modernisation - Primary & Secondary	Grants/contribution		(1,975)
Education and Skills	2017/18	Urgent Primary Places - Temporary Allocated	Grants/contribution		(985)
Education and Skills	2017/18	Millbrook Park (MHE)	Grants/contribution	(139)	
Education and Skills	2017/18	Orion Primary School	Grants/contribution		(75)
Education and Skills	2017/18	Menorah Foundation	Grants/contribution		(182)
Education and Skills	2017/18	St Marys and St Johns	Grants/contribution	(196)	
Education and Skills	2017/18	Martin Primary	Grants/contribution		(9)
Education and Skills	2017/18	St Joseph's RC Junior & St Joseph's RC Infants School	Grants/contribution	(27)	
Education and Skills	2017/18	Monkfrith	Grants/contribution	(312)	(35)
Education and Skills	2017/18	Monkfrith	S106	312	
Education and Skills	2017/18	Wren Academy	Grants/contribution		(72)
Education and Skills	2017/18	London Academy	Grants/contribution		(21)
Education and Skills	2017/18	St Agnes	Grants/contribution		(70)
Education and Skills	2017/18	Watling Park School	Grants/contribution	350	
Education and Skills	2017/18	Christ College	Grants/contribution	10	
Education and Skills	2017/18	Copthall	Grants/contribution		(134)
Education and Skills	2017/18	Compton	Grants/contribution		(24)
Education and Skills	2017/18	Oak Lodge Special School	Grants/contribution		(253)
Education and Skills	2017/18	St Mary's & St John's	S106	3,816	
Education and Skills	2017/18	St Mary's & St John's	Grants/contribution	(3,620)	(4,777)
Education and Skills	2017/18	St James / Blessed Dominic	Grants/contribution		(4,201)
Education and Skills	2017/18	St James / Blessed Dominic	S106		2,782
Education and Skills	2017/18	Wave 1 - Northway/Fairway	Grants/contribution	9	
Education and Skills	2017/18	East Barnet & Project Faraday	Grants/contribution	(108)	
Education and Skills	2017/18	School place planning (Primary)	Grants/contribution	(95)	(655)
Education and Skills	2017/18	School place planning (Secondary)	S106		(783)
Education and Skills	2017/18	SEN	S106		(1,000)
Education and Skills	2017/18	SEN	Grants/contribution		(262)
Education and Skills	2017/18	Alternative Provision	Grants/contribution		(554)
Family Services	2017/18	Libraries	Capital receipts		(3)
Family Services	2017/18	Early Education and Childcare place sufficiency	Borrowing	(1,005)	(195)
Family Services	2017/18	Early Education and Childcare place sufficiency	Capital Reserve	1,005	
Family Services	2017/18	Information Management	Capital receipts	400	22
Family Services	2017/18	Information Management	Capital Reserve	(400)	
Family Services	2017/18	Youth Zone	Capital Reserve		(301)
Family Services	2017/18	Loft conversion and extension policy for Foster Carers	Grants/contribution	30	
Family Services	2017/18	Loft conversion and extension policy for Foster Carers	Capital Reserve	(30)	(170)
Family Services	2017/18	New Park House Children's home	Grants/contribution	58	
Family Services	2017/18	New Park House Children's home	Capital Reserve	(58)	(20)
Family Services	2017/18	Libraries Capital works	S106	707	
Family Services	2017/18	Libraries Capital works	Capital receipts	1,397	
Family Services	2017/18	Libraries Capital works	Borrowing	(2,752)	(373)
Family Services	2017/18	Meadow Close Children's Homes	Borrowing	(229)	(140)
Family Services	2017/18	Meadow Close Children's Homes	Capital receipts	229	
Family Services	2017/18	Family Services Estate - building compliance, extensive R&M, H&S, DDA	Capital Reserve	(348)	(1,152)
Family Services	2017/18	Family Services Estate - building compliance, extensive R&M, H&S, DDA	Capital receipts	348	
Housing Needs Resources	2017/18	Empty Properties	Capital Reserve	(157)	(843)
Housing Needs Resources	2017/18	Empty Properties	Borrowing	157	
Housing Needs Resources	2017/18	Out of borough acquistition	Borrowing	(2,685)	(7)
Housing Needs Resources	2017/18	Out of borough acquistition	Capital receipts	2,685	
Housing Needs Resources	2017/18	Modular Homes	Capital receipts	32	
Housing Needs Resources	2017/18	Modular Homes	Borrowing	(32)	32
Housing Needs Resources	2017/18	Open Door	Capital receipts		(1,223)
Housing Needs Resources	2017/18	Open Door	Borrowing		(3,659)
Housing Needs Resources	2017/18	Micro Sites	Capital receipts		59
Housing Needs Resources	2017/18	Micro Sites	S106		36
Parking and Infrastructure by S	2017/18	Lines and Signs	Capital Reserve		(50)

Parking and Infrastructure by S	2017/18	Parking Machines	RCCO/ MRA	(11)	
Parking and Infrastructure by S	2017/18	CCTV	Grants/contribution	251	
Parking and Infrastructure by S	2017/18	CCTV	Capital Reserve	(251)	(501)
Parking and Infrastructure by S	2017/18	CCTV Projects Retention	Capital receipts		(84)
Parking and Infrastructure by S	2017/18	Highways (permanent re-instatement)	Capital Reserve	(431)	(69)
Parking and Infrastructure by S	2017/18	Highways (permanent re-instatement)	Capital receipts	431	
Parking and Infrastructure by S	2017/18	Highways proactive patching	Capital receipts		640
Parking and Infrastructure by S	2017/18	DLO restructure and Investment project	Capital receipts		(250)
Regional Enterprise	2017/18	Local Implementation Plan 2016/17 and onwards	Grants/contribution	(408)	(170)
Regional Enterprise	2017/18	Bus stop Accessibility	Grants/contribution	(49)	
Regional Enterprise	2017/18	Bridge Assessment	Grants/contribution	(125)	
Regional Enterprise	2017/18	Carriageways	Grants/contribution	984	
Regional Enterprise	2017/18	Carriageways	Borrowing	(984)	191
Regional Enterprise	2017/18	Road Traffic Act - Controlled Parking Zones	S106		(107)
Regional Enterprise	2017/18	Road Traffic Act - Controlled Parking Zones	Capital receipts		(4)
Regional Enterprise	2017/18	Road Traffic Act - Controlled Parking Zones	Capital Reserve		(1)
Regional Enterprise	2017/18	Investment in Roads & Pavement (NRP)	RCCO/ MRA	(133)	
Regional Enterprise	2017/18	Investment in Roads & Pavement (NRP)	Grants/contribution	133	
Regional Enterprise	2017/18	Investment in Roads & Pavement (NRP)	Borrowing		(2,114)
Regional Enterprise	2017/18	Mill Hill East	Capital Reserve		(35)
Regional Enterprise	2017/18	BXC - Funding for land aquisition	Capital Reserve	(1,319)	(2,386)
Regional Enterprise	2017/18	BXC - Funding for land aquisition	Capital receipts	947	
Regional Enterprise	2017/18	BXC - Funding for land aquisition	Grants/contribution	372	
Regional Enterprise	2017/18	BXC - Funding for land aquisition	Borrowing		(30,934)
Regional Enterprise	2017/18	Colindale – Highways and Transport	Grants/contribution	(172)	(208)
Regional Enterprise	2017/18	Colindale – Highways and Transport	S106	172	
Regional Enterprise	2017/18	Colindale – Parks, Open Spaces and Sports	S106	223	35
Regional Enterprise	2017/18	Colindale – Parks, Open Spaces and Sports	Grants/contribution	(223)	
Regional Enterprise	2017/18	Colindale Station Works	S106		(500)
Regional Enterprise	2017/18	Grahame Park – Community Facilities	S106		(63)
Regional Enterprise	2017/18	Town Centre	Grants/contribution	80	30
Regional Enterprise	2017/18	Town Centre	Capital Reserve	160	
Regional Enterprise	2017/18	Town Centre	s106	(240)	
Regional Enterprise	2017/18	Thames Link Station	Grants/contribution		5
Regional Enterprise	2017/18	Development pipeline	Borrowing		(100)
Regional Enterprise	2017/18	Disabled Facilities Grants Programme	Grants/contribution		651
Regional Enterprise	2017/18	Refurbish and regenerate Hendon Cemetery and Crematorium	Grants/contribution	34	
Regional Enterprise	2017/18	Refurbish and regenerate Hendon Cemetery and Crematorium	RCCO/ MRA	(34)	(266)
Regional Enterprise	2017/18	Hendon Cemetery & Crematorium Enhancement	Capital receipts		32
Regional Enterprise	2017/18	Decent Homes Programme	Capital Reserve	(196)	(25)
Regional Enterprise	2017/18	Decent Homes Programme	Grants/contribution	196	
Regional Enterprise	2017/18	DECC - Fuel Povety	Grants/contribution		(4)
Streetscene	2017/18	Parks & Open Spaces and Tree Planting	Grants/contribution	(5)	(54)
Streetscene	2017/18	Parks & Open Spaces and Tree Planting	S106	5	
Streetscene	2017/18	Park Infrastructure	Grants/contribution	(9)	(3)
Streetscene	2017/18	Park Infrastructure	S106	9	(131)
Streetscene	2018/19	Victoria Park Infrastructure	Capital receipts		(171)
Streetscene	2017/18	Parks Equipment	Capital Reserve	(92)	(7)
Streetscene	2017/18	Parks Equipment	s106	10	
Streetscene	2017/18	Parks Equipment	Grants/contribution	77	
Streetscene	2017/18	Waste	Grants/contribution	60	
Streetscene	2017/18	Waste	Capital Reserve	(60)	(234)
Streetscene	2017/18	Weekly Collection Support Scheme	Grants/contribution		(488)
Streetscene	2017/18	Replacement Bins	Grants/contribution	280	
Streetscene	2017/18	Replacement Bins	Capital Reserve	(280)	(20)
Streetscene	2017/18	Street litter bins	Capital receipts		(40)
Streetscene	2017/18	Vehicles	Capital Reserve	(204)	(684)
Streetscene	2017/18	Vehicles	Grants/contribution	204	
Streetscene	2017/18	Street cleansing and greenspaces - vehicles and equipment	Grants/contribution	177	
Streetscene	2017/18	Street cleansing and greenspaces - vehicles and equipment	Capital Reserve	(177)	(557)
HRA	2017/18	Major Works (excl Granv Rd)	RCCO/ MRA	22	
HRA	2017/18	Regeneration	RCCO/ MRA	(66)	
HRA	2017/18	Misc - Repairs	RCCO/ MRA	181	
HRA	2017/18	M&E/ GAS	RCCO/ MRA	(42)	
HRA	2017/18	Voids and Lettings	RCCO/ MRA	(444)	
HRA	2017/18	New Affordable Homes	RCCO/ MRA	(214)	
HRA	2017/18	New Affordable Homes	Capital receipts	344	
HRA	2017/18	Advanced Acquisitions (Regen Estates)	Borrowing	(4,363)	(516)
HRA	2017/18	Advanced Acquisitions (Regen Estates)	Capital receipts	1,025	
HRA	2017/18	Advanced Acquisitions (Regen Estates)	RCCO/ MRA	3,338	
HRA	2017/18	Moreton Close	s106	550	825
HRA	2017/18	Moreton Close	Capital receipts	336	731
HRA	2017/18	Moreton Close	RCCO/ MRA	(300)	300
HRA	2017/18	Moreton Close	Borrowing	(586)	586
HRA	2017/18	Tranche 3	Capital receipts	310	
HRA	2017/18	Direct Acquistions	Capital receipts	126	
HRA	2017/18	Direct Acquistions	RCCO/ MRA	982	
HRA	2017/18	Direct Acquistions	Borrowing	(1,008)	
HRA	2017/18	Dollis Valley	Capital receipts		(320)
HRA	2017/18	Burnt Oak Broadway Flats	Capital receipts		(18)
HRA	2017/18	Upper & Lower Fosters Community Led Design	RCCO/ MRA		(318)
HRA	2017/18	Upper & Lower Fosters Community Led Design	Capital Reserve	(136)	(58)
HRA	2017/18	Upper & Lower Fosters Community Led Design	Capital receipts	136	
HRA	2017/18	Development Pipeline Stag House	Capital receipts		(299)
HRA	2017/18	Development Pipeline Stag House	Grants/contribution	118	
HRA	2017/18	Development Pipeline Stag House	Capital Reserve	(118)	(727)
HRA	2017/18	HRA Fire Safety Programme	RCCO/ MRA	5	(1,418)

Care Leaver Council Tax Consultation Summary – May 2018

1. Background

The Children's Services Improvement Action Plan recognises the need to improve outcomes for care leavers, and in particular to ensure that they have access to appropriate discretionary funds and reliefs, improve outcomes and ensure they are adequately prepared for independent living.

A briefing paper on council tax reduction for Barnet care leavers was finalised and presented to Corporate Parenting Advisory Panel on 3 February 2018.

The proposal was approved at Policy & Resources Committee on 13 February 2018 to authorise the Deputy Chief Executive to consult on a policy for offering council tax relief to care leavers based on guaranteed relief for their first two years of independent living, and a presumption in favour of granting relief should it be required after that up to age 25; and instruct the Deputy Chief Executive to bring the policy to a future meeting of the committee for approval.

2. The consultation

The consultation consisted of 11 questions which sought views on key elements of the policy proposal to;

- 1) Offer Council Tax relief to care leavers up to age 25.
- 2) That automatic relief be limited to their first two years of independent living.
- 3) Living circumstances to which this relief should apply.

The Consultation consisted of a questionnaire, accessible online and via a group facilitated discussion with care leavers.

In addition to the online survey and facilitated care leaver discussion, discussions were also held with key stakeholders including Social Work Team Manager, Virtual School, Looked After Children Nurse, Barnet Homes, Foster Carer Support, Voice of the Child Team and Leaving Care Service, via the Corporate Parenting Officers' Group.

There were 4 main scaling questions posed as part of the consultation, to establish the extent respondents agreed or disagreed with the following:

- i. The council's proposal to help Barnet Council's Care Leavers up to the age of 25 by providing council tax relief?
- ii. That it is made available for the first two years of independent living (from the point a care leaver is first named as liable on Council Tax bill)
- iii. That council tax liability should be reduced to nil where a Care Leaver is jointly liable for council tax?
- iv. That this relief should apply to Care Leavers living in all bands of property?

Additional questions asked, provided the opportunity for qualitative responses to be added by respondents and captured equality and diversity information.

The Consultation ran from 21st March to 20th May 2018 and received:

- 15 online survey responses from care leavers
- 4 facilitated discussion responses from care leavers
- 4 survey responses from other Barnet residents

The total number of care leavers that responded (n=19) equates to 8% of the total number of 18-25-year-old care leavers as at March 2018.

1.1 Facilitated discussion

A facilitated discussion was held with care leavers on 21 March 2018, during which all care leavers strongly agreed with each one of the consultation questions. Comments from young people included:

Q4: Do you have any other comments or suggestions regarding the two years of independent living?

- “why can’t it be extended for longer? We should get it until [age] 24/25?”
- “If you have a job, depending on how much you get you should pay”

Q5: Do you have any other comments or suggestions regarding joint liability reduction to nil?

- “Halve it so the care leaver doesn’t have to pay”
- “Care leavers shouldn’t have to pay it”
- “Is there a way to have two different council tax bills for one house? Otherwise have the whole household at nil”
- “Just nil it by the house”

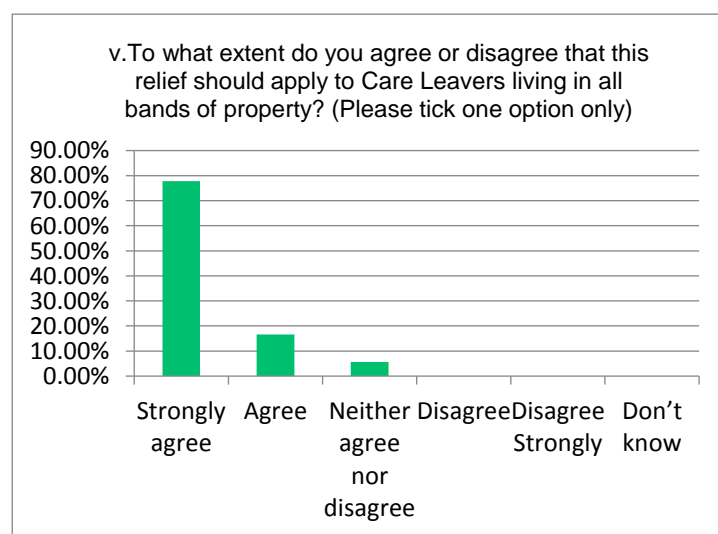
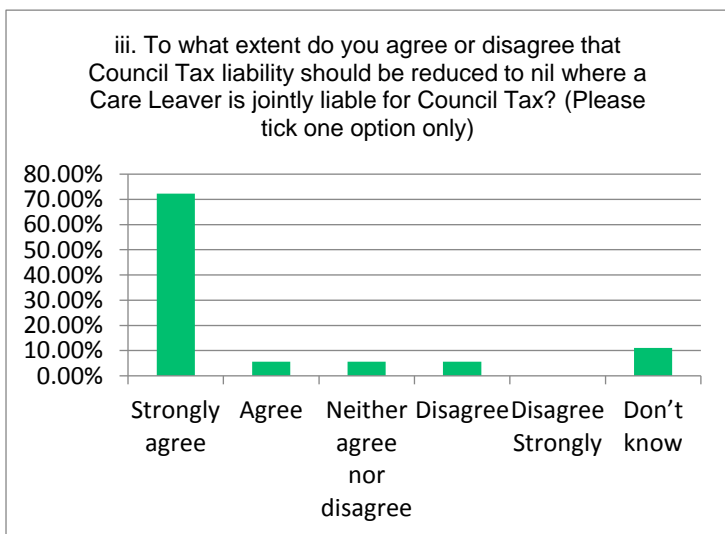
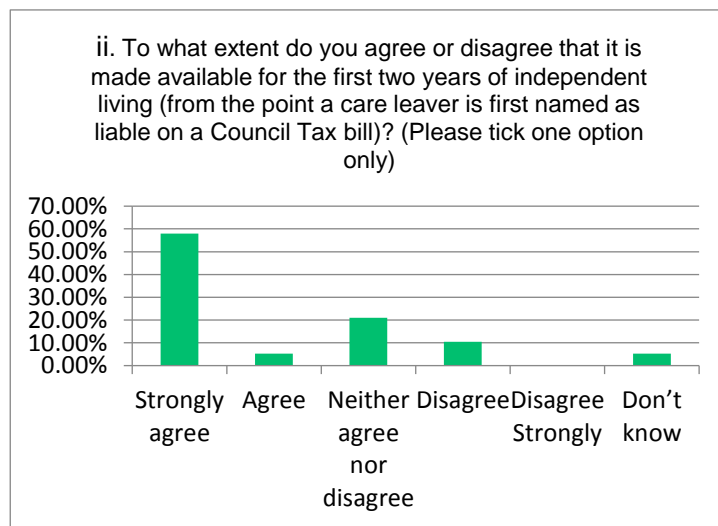
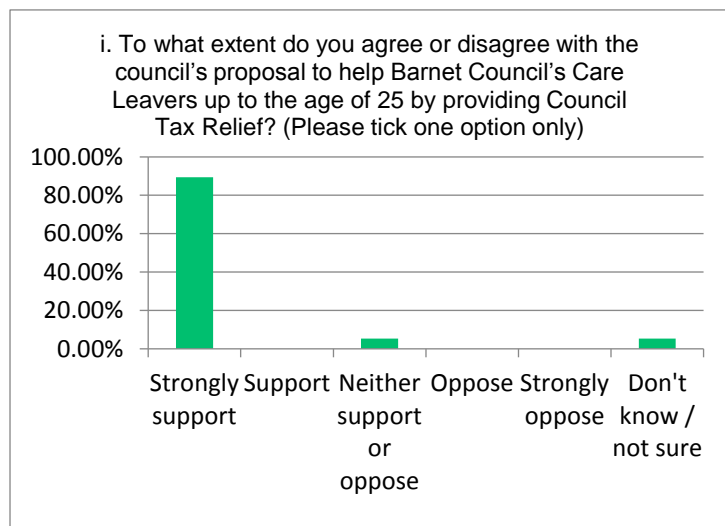
Q11: Do you have any other comments or suggestions regarding the proposal?

Feedback included:

- Concerns about young people in education not benefitting from the scheme.
- Young people living out of borough still being at risk of debt.
- Out of borough young people being disadvantaged.
- Care leavers being penalised when going in and out of university.

1.2 Online survey

Responses to the consultation’s four main questions were as follows:



Although the responses show clear responses for the proposed policy, there were a several themes that emerged from the comments. They have been categorised as follows:

1. **Continuation:** respondents feel that the two-year period should stop/start according to council tax liability status due to full-time education I.E. Care Leavers are exempt from paying council tax when in education in any case – 6 respondents (26%)
2. **Duration:** respondent feel the full reduction should be for longer than the proposed two years) – 5 respondents (22%)
3. **Phased council tax bills:** respondents feel there should be incremental bill increases year on year – 2 respondents (9%)
4. **Backdated reduction:** respondent felt that when the scheme is introduced, reduction should be granted for those who have been living independently for more than two years – 1 respondent (4%)

When considered in the context of the total number of responses, point 1 and 2 are statistically significant. However, just 8% of care leavers responded to the consultation.

There were also numerous comments pertaining to the general hardship experienced by care leavers and the need for financial and other additional support, including:

“As a care leaver, I know how difficult it can be having to manage finances in combination with being independent and having to overcome challenges from childhood that the average child does not struggle with. The burden of financial woes and uncertainty of paying bills can make it so much harder for a care-leaver to overcome their childhood traumas. Thus, every, tiny bit of financial support makes a HUGE difference in reducing that burden and preparing a care leaver to feel strong enough to become independent after 25, when they no longer can access the same support. Therefore, I strongly support the proposal for care-leavers to be relieved of council tax up until the age of 25.”

“I do believe that this proposal will benefit many care leavers, as living in own it's difficult. Since I have placed into care and living in my house, I become liable for all my bills including council tax, that every year my social try to help by getting me an exemption to reduce my expenses. The process is not easy as they are many requirements before even be considered.”

“I am sure it will very good idea because the council tax is a big challenge for me.”

“I believe that the voice of care-leavers, whom already are at a significant disadvantage growing up and into the adult world, should be heard at the highest regard. The state has a duty to look after their needs and thus prepare them adequately one they leave the care system. In my opinion, this should mean that the burdens of responsibility in making the transition into adulthood should be minimised as much as possible I, especially financially which I personally know can be a source of major anxiety and pressure despite support from social workers. Therefore, a council tax exemption is something I know would help this, and is certainly something care-leavers deserve. As a care-leaver who has been in the system most of my life, I hope my opinion and wishes are heard above those that have not been in the system. Thank you.”

“That care leavers in apprenticeships or internships pay a highly reduced amount that is upped gradually to help prepare them for when they pay it all”

Consultation outcome

The majority of respondents agree with each element of the proposed policy. The recommendation is therefore to implement the Care Leaver Council Tax Reduction scheme, backdated to 1 April 2018.

In terms of the categories of statistical significance, when considering the initial vision for the scheme and our corporate parenting responsibilities, we recommend that:

- *Continuation* - the scheme be varied to accommodate this point. This would entail a “pause enabling” approach for young people who leave their accommodation for a period of time or are awarded full exemption due to education status. The terms and conditions for this are outlined below.
- *Duration* – this scheme should not be varied to accommodate this point. Care leavers can apply for up to 100% discretionary reduction after their initial two-year period and up until the age of 25 if they are experiencing financial difficulties. The opportunity to access extended reduction is therefore available. In addition to this, as corporate parents, the council has an important role

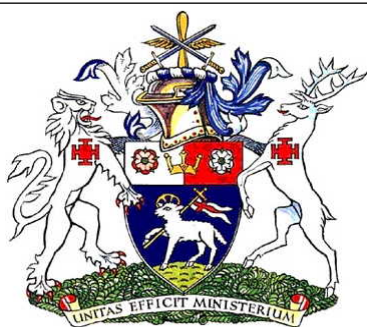
to play in preparing young people for independence; the discretionary reduction after two years is a way of achieving this.

Continuation terms and conditions

Where a full-time student is entitled to an exemption from Council Tax the 2-year Care Leaver discount will be paused. There may be unforeseen circumstances where a full-time student may not be entitled to a full exemption and so if the Care Leaver is liable to pay all or part of the Council Tax whilst a student, the Care Leaver discount will continue and the pause will not apply. Once the exemption ends the Care leaver discount will recommence. The maximum aggregate total of the Care Leaver discount must not exceed 2 years. The discount may only be paused a maximum of two times. If a third instance (or more) of pausing is required the discount will not be paused and will run concurrently with the student exemption. Where a Care Leaver has required more than 2 pauses they may apply for discretionary relief and their circumstances as a care leaver/student will be taken in to consideration along with the any supporting comments from Onwards and Upwards.

If the care leaver moves out of a property where relief is currently being applied to take up full time education (halls or residence etc) they will also be eligible for the pause in relief should they later become liable for Council Tax in Barnet again and meet the other qualifying conditions and no more than 2 pauses have already taken place. In this instance relief will only be applied following confirmation from the care leavers Personal Advisor that s/he has been living elsewhere owing to them being in a full-time course of education and that they are satisfied s/he has been attending the course.

AGENDA ITEM 8



Policy and Resources Committee 11 June 2018

Title	Barnet's Local Development Scheme 2018
Report of	Deputy Chief Executive – Cath Shaw
Wards	All
Status	Public
Urgent	No
Key	Non-key decision
Enclosures	Appendix A: Barnet's Local Development Scheme 2018
Officer Contact Details	Nick Lynch, Planning Policy Manager nick.lynch@barnet.gov.uk , 0208 359 4211 Rita Brar, Principal Policy Planner rita.brar@barnet.gov.uk , 0208 359 4177

Summary

The Planning and Compulsory Purchase Act 2004 requires the Council to prepare a three-year project plan, the Local Development Scheme (LDS), setting out the programme for preparing the Local Plan. This LDS reflects the changing context for planning in particular the programme for the Draft London Plan together with national planning reforms.

Recommendation

That Barnet's revised Local Development Scheme, as set out in Appendix A to this report, be approved for publication.

1. WHY THIS REPORT IS NEEDED

- 1.1 In order to effectively manage growth and positively respond to a changing national and London-wide agenda on planning the Council needs to keep the Local Plan up to date. In order to show progress on the review of the Local Plan a revision is required to the Local Development Scheme (LDS).

2. REASONS FOR RECOMMENDATION

- 2.1 Section 15 of the Planning and Compulsory Purchase Act requires local planning authorities to prepare and maintain a LDS specifying a timetable for preparation and revision of Local Plan documents. This is a rolling three-year project plan setting out all the planning documents to be produced by the authority and the timetable for their preparation.
- 2.2 The LDS, set out in Appendix A, provides background information on Local Plan document preparation up to 2021 enabling partners, residents and businesses to know where, when and how the planning policy framework for Barnet is progressing. This is the fifth revision to Barnet's LDS. This version covers the period 2018- 2021 and supersedes the LDS approved by this Committee in September 2016. Revisions to the Local Plan timetable ensure alignment with the review of the London Plan enabling the Borough to respond to the challenges raised by the Mayor and produce a document that reflects local circumstances and contributes to place shaping in Barnet. It also sets out our programme for the production of two new Supplementary Planning Documents (SPDs) on Colindale Station and Middlesex University Hendon Campus.
- 2.3 This LDS also sets out our future intentions for producing area planning frameworks with neighbouring boroughs at Brent Cross West and New Southgate. It also signals our intention to produce a SPD focusing on public transport hubs in Barnet (including land owned by Transport for London and Network Rail). The production of area planning frameworks will unlock capacity for new homes and jobs as well as other benefits including improvements to the public realm.
- 2.4 The National Planning Policy Framework (NPPF) sets out Government planning policy. Initially published in March 2012 the NPPF has been revised and is expected to be formally published in Summer 2018. The Local Plan will be produced in accordance with the new NPPF. The new NPPF will focus more on Local Plans delivering more new homes from small sites (under 0.5 ha). It will also introduce the Housing Delivery Test and the requirement for an action plan if housing delivery is under 95% of the housing requirement.
- 2.5 With an existing London Plan 10-year housing target of 23,489 new homes by 2025 Barnet already has a challenging target to meet to deliver the most new homes in Outer London. The Draft London Plan proposes to raise this 10-year target to 31,340 new homes by 2028/29 (3,134 new homes per annum). The Draft London Plan is expected to undergo an Examination in Public later this year. Adoption is expected in late 2019.

- 2.6 The Government has proposed a new standardised methodology for calculating objectively assessed need, our housing requirement. On the basis of this methodology a provisional figure of 4,126 new homes per annum has been calculated for Barnet. As the London Plan forms part of Barnet's development plan clarification is sought from the Government on the unique circumstances of London. This will become clearer with the London Plan Examination in Public.
- 2.7 The Local Plan Core Strategy 2012 highlights that if progress is not made with the implementation and delivery of regeneration in Brent Cross - Cricklewood (BXC) the Council will, through a revision to the LDS, instigate a review of the existing planning policy framework for the BXC area. The Council remains satisfied with the progress of the 2010 planning consent (and Section 73 revisions approved in 2014) and a review to the BXC planning policy framework is therefore not required.
- 2.8 The revised LDS also sets out a timetable for revisions to the charging schedule underpinning Barnet's Community Infrastructure Levy (CIL) which was introduced in May 2013. The revised standard charge for CIL will contribute to the costs of infrastructure arising from development across the Borough; therefore, the timetable for the revision of CIL will run parallel with the review of the Local Plan.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 The alternative is not to revise and republish the Council's LDS, leaving the 2016 published LDS timetable in place and resulting in the Council demonstrating non-delivery against the proposed programme. This is not advised as there is now a requirement to review Local Plans every 5 years?
- 3.2 The alternative also sends out a negative message to residents, businesses and the development industry that we are not prepared to manage new challenges and opportunities facing the Borough.

4. POST DECISION IMPLEMENTATION

- 4.1 Following approval by Committee of the LDS a statement of confirmation should be published on the Council's website.

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

- 5.1.1 The Corporate Plan for 2015-2020's objectives are embedded within the documents that are identified in the LDS. In particular Barnet is a place:

- *"of opportunity where people can further their quality of life; and where people are helped to help themselves, recognising that prevention is better than cure; and where responsibility is shared fairly"*, the LDS therefore sets the programme for a review of the Local Plan and CIL that:
 - provides increased housing choice in mixed communities;
 - supports social infrastructure delivery;

- targets unhealthy lifestyles and health inequalities through planning policy;
 - *“where services are delivered efficiently to get value for money for the taxpayer”* the LDS addresses the need to revise the charging schedule for CIL, the primary source of development contributions to infrastructure.
- 5.1.2 The Council’s 2018/19 Corporate Plan addendum further identifies that it is *“Our job is to work together for residents and businesses to ensure:*
- *successful places;*
 - *great outcomes*
 - *resilient communities”*
- 5.1.3 The following are key objectives listed within that addendum:
- Regenerating Brent Cross Cricklewood
 - Increasing the housing supply
 - Delivering the family friendly Barnet vision
 - Investing in key Town Centres and making Barnet the best place in London to be a small business
- 5.2 **Resources (Finance & Value for Money, Procurement, Staffing, IT, Property, Sustainability)**
- 5.2.1 There are no direct costs associated with the Local Development Scheme (LDS), and it is a statutory requirement to have an up to date scheme.
- 5.2.2 The programme of work, however, has the following financial implications:
- (a) New burdens placed on the Council associated with the Housing and Planning Act 2016, some of which are only transitional funded.
 - (b) Costs associated with developing a new Local Plan for those elements that are the Council’s direct duty or are not contracted to Re.
 - (c) Costs associated with developing SPDs, although these are normally externally funded or delivered through income from planning fees.
- 5.2.3 The total cost for the range of required planning policy work and associated infrastructure strategies is £838,099. This consists of:
- (a) £507,099 of existing commitments and contracted outcomes (profiled as £421,367 in 2018-19 and £60,732 in 2019-20 and £25,000 in 2020-21).
 - (b) £331,000 further requirement for the policy programme set out in the LDS that enables the Council to meet its statutory duty to maintain an up to date Development Plan (profiled as £165,000 in 2018-19, £25,000 in 2019-20 and £141,000 in 2020-21).

5.2.4 The Local Plan elements falling outside existing contracted workstreams relate to duties of the Local Authority like appointing an inspector, holding a public examination and supporting delivery of a North London Waste Plan, alongside costs associated with the production of some specific pieces of evidence needed to ensure the Local Plan is a robust plan.

5.2.5 The potential for additional but unquantifiable financial implications should be noted in relation to where delays to the Local Plan / other Policy production impacts on development management decision-making, a suitable housing land supply and/or receipt of infrastructure funding.

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. The Act is not applicable in the context of this report as it does not concern a procurement process.

5.4 **Legal and Constitutional References**

5.4.1 The Planning and Compulsory Purchase Act 2004 and the Town and Country Planning (Local Planning) (England) Regulations 2012 provide guidance on the preparation and adoption of the Local Plan. The Localism Act 2011 allows Local Planning Authorities to adopt their own Local Development Schemes without approval from the Secretary of State and Mayor of London.

5.4.2 Under the Council's Constitution, Document Article 7 (section 7.5 Responsibility for Functions) sets out that the Policy and Resources Committee is responsible for the overall strategic direction of the Council including responsibility for Local Plans.

5.4.3 It is a legal requirement to publish a Local Development Scheme (LDS) containing the timetable for the Local Plan. It is also a legal requirement for the Local Plan to be prepared in accordance with the LDS, and for the LDS to be revised at such time as the local planning authority considers appropriate.

5.4.4 Upon adoption the LDS becomes a statutory document that forms part of Barnet's planning policy framework. Barnet's Local Plan documents should be prepared in accordance with the LDS.

5.5 **Risk Management**

5.5.1 The LDS timetable for preparing Local Plan and CIL documents is based on the current legislative and regulatory context, together with assumptions about the availability of resources and the work involved in compiling a robust evidence base. The following are the main sources of uncertainty and mitigation measures:

- **National planning reforms:** publication of the new NPPF is expected in Summer 2018. Working with the Planning Advisory Service, London Councils and Planning Officers Society will help ensure early awareness of the implementation of national changes to planning.

- **London Plan:** A full review of the London Plan is underway, with the direction of travel in terms of planning policy being determined by the Mayor's priorities. Our Local Plan timetable responds to that of the London Plan and enables us to work in partnership with other London Boroughs (in particular the West London Alliance) on joint evidence which supports both Local Plan preparation and enables a robust and effective response to the London Plan.
- **Consultation and stakeholder engagement:** Risks apply both in terms of stakeholder and public consultation. In terms of stakeholder consultation, the Council must ensure it meets the requirements of the 'Duty to Cooperate', whilst in terms of public consultation the Local Plan review may raise issues that had not been fully anticipated and give rise to the need for further research or re-drafting. An emphasis on early consultation and engagement will mitigate this risk.
- **Staff resources and technical expertise:** Meeting timetables is dependent on appropriate and timely resources being made available to ensure all aspects of the Local Plan review including evidence gathering, public consultation and examination are appropriately funded and delivered according to the project plan. Mitigation of this risk is to be managed through a project board and appropriate processes.
- **Ensuring the Local Plan is deliverable, viable, realistic and flexible:** To manage the complexity and challenges associated with a review of the Local Plan the Strategic Planning Operations Board manages detailed programme and risks. The aim of the Board is to oversee strategic planning activities to ensure they address the changing needs of the Borough and secure a sound planning policy framework. An emphasis on early dialogue / engagement and timely input / feedback is therefore used to mitigate the risks associated with delays.
- **Ensuring the Local Plan meets local expectations:** Working sub-groups are used to discuss evidence and agree content, policy proposals and draft wording. Member input and support is provided by the cross-party Local Plan Members Advisory Group who review proposed content and help shape emerging policy changes at each stage of the Local Plan review.

5.6 Equalities and Diversity

- 5.6.1 The Local Plan as identified in the LDS is subject to an Equalities Impact Assessment (EqIA). EqIAs are not a legal requirement under the Equality Act 2010 but the Public Sector Equality Duty contained in section 149 of the Equality Act 2010 requires public authorities to have due regard to a number of equality considerations when exercising their functions and are a way of ensuring that the Public Sector Equality Duty has been complied with.
- 5.6.2 For Barnet's Local Plan an Integrated Impact Assessment (IA) will be undertaken. The Integrated Assessment includes elements of an Equality Impact Assessment and Health Impact Assessment as well as a Sustainability Appraisal and Strategic Environmental Assessment. This integrated approach

will assess the impact of the Plan on social, economic, environmental, health and equality objectives.

5.7 Consultation and Engagement

- 5.7.1 There are no external consultation requirements on the LDS except for publishing the adoption version on Council's website.

5.8 Insight

- 5.8.1 The Local Plan process utilises all available insight and seeks to commission additional insight or evidence where required to understand local and thematic matters that affect the way policy will be developed. A range of additional evidence has been commissioned or provided for through the Re contract.
- 5.8.2 Effective and quality insight plays an important role in ensuring the Local Plan and other Planning Policy documents are based on robust and sound analysis of issues and identification of suitable policy options to address them.
- 5.8.3 The Local Plan can utilise existing corporate insight, together with that secured through the Re contractual commitment for a Barnet Observatory. This is designed to deliver targeted provision of insight and analysis, this then supplements and builds upon data and analysis associated with the Council's Joint Strategic Needs Assessment (updated January 2018) and data collated by partner organisations such as the GLA.

6. BACKGROUND PAPERS

- 6.1 Committee, 1 September 2016 (Decision item 10) approved the Local Development Scheme for adoption.
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=8729&Ver=4>

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Appendix A: London Borough of Barnet's Local Development Scheme: Version 6

With effect from 11th June 2018

This Local Development Scheme (LDS) sets out Barnet Council's timetable for preparing its Local Plan. It supersedes the LDS 5th version that was published in September 2016. Section 15 of the Planning & Compulsory Purchase Act 2004 (revised by Housing & Planning Act 2016) requires local planning authorities to prepare and maintain a LDS specifying a timetable for preparation and revision of Local Plan documents.

Local Plan related documents	Regulatory Stages and Timetable					
All documents listed below are part of the Local Plan - the document for managing growth in Barnet. Development Plan Document (DPD) Supplementary Planning Document (SPD)	Evidence gathering and pre-preparation stage (Including consulting on sustainability reports where applicable)	Reg 18: Preparation of Local Plan and Consultation Opportunity for interested parties and statutory consultees to be involved at an early stage.	Reg 19: Publication of Local Plan and Consultation The Council publishes the draft plan. There follows a period of at least 6 weeks consultation.	Reg 22: Submission The Council submits the Local Plan to the Secretary of State with representations received.	Reg 24: Examination in Public Conducted by independent Planning Inspector who will consider representations made at Reg 22 stage.	Reg 26: Adoption Subject to outcome of examination, the Council formally adopts the plan.
Local Plan for Barnet DPD The new Local Plan for Barnet looks ahead to 2036 and comprises a suite of strategic and development management policies together with site proposals and a Policies Map. Upon adoption the new Local Plan will replace Core Strategy and Development Management Policies documents (adopted in 2012).	Summer 2017- Winter 2018	Winter 2018	Summer 2019	Winter 2019	Spring 2020	Winter 2020
North London Waste Plan DPD Allocates sites for development of waste management facilities and provides policy framework for decision making on waste management facilities.	Summer 2014-2017	Winter 2014	Winter/Spring 2019	Summer 2019	Autumn 2019	Spring/ Summer 2020
Colindale Station - SPD Sets out approach to redevelopment of the Colindale Station site with housing led mixed use development above and around the new station building.	Spring 2018- Summer 2018	Not applicable	Reg 12 consultation on draft SPD - Autumn 2018	Not applicable	Reg 13 Internal Assessment of Representatio	Spring 2019

					ns - Winter 2018	
Middlesex University – Hendon Campus SPD Sets out approach to optimise potential of Middlesex University, London Fire Brigade and Council landholdings supporting successful and sustainable mixed used growth within Hendon	Autumn 2018 - Spring 2019	Not applicable	Reg 12 consultation on draft SPD – Spring 2019	Not applicable	Reg 13 Internal Assessment of Representations - Summer 2019	Autumn 2019
Community Infrastructure Levy (CIL) Reviews effectiveness of Barnet's CIL since Spring 2013. The CIL charging schedule is the primary means of funding local infrastructure Preliminary draft charging schedule (PDCS) Draft charging schedule (DCS)			PDCS Spring 2019	DCS Autumn 2019	CIL Examination Spring 2020	CIL Adoption Winter 2020

Other Possible Documents:

- **Brent Cross West**

There is an opportunity for an appropriate planning framework (Area Action Plan / Supplementary Planning Document) to be developed with LB Brent on Brent Cross West based on the delivery of West London Orbital Railway. This will unlock capacity for new homes and jobs as well as other benefits including improvements to the public realm.

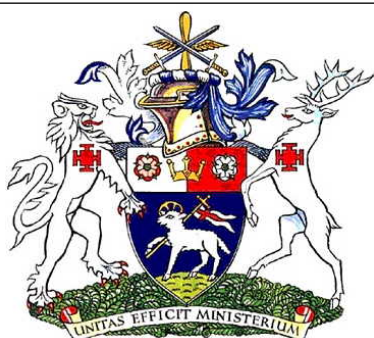
- **New Southgate Opportunity Area**

There is an opportunity for an appropriate planning framework (Area Action Plan / Supplementary Planning Document) to be developed with LB Enfield, LB Haringey and the Mayor of London at the New Southgate Opportunity Area (as identified in the Draft London Plan). This will unlock capacity for new homes and jobs as well as other benefits including improvements to the public realm.

- **Transport Hubs SPD**

There is an opportunity to produce a SPD focusing on public transport hubs in Barnet (including land owned by Transport for London and Network Rail). This will unlock capacity for new homes and jobs as well as other benefits including improvements to the public realm.

AGENDA ITEM 9



Policy and Resources Committee

11 June 2018

Title	Barnet's Local Plan – Draft Statement of Community Involvement
Report of	Deputy Chief Executive – Cath Shaw
Wards	All
Status	Public
Urgent	No
Key	Yes
Enclosures	Appendix A: Draft Statement of Community Involvement
Officer Contact Details	Nick Lynch – Planning Policy Manager (0208 359 4211) Nick.lynch@barnet.gov.uk

Summary

The Statement of Community Involvement (SCI) sets out how the Council will involve local residents, businesses and community groups in the preparation of planning documents and the consideration of planning applications. Initially introduced in 2007 and subsequently revised in 2015, the SCI is being updated to reflect further reforms to the planning system. This includes the introduction of the Brownfield Land Register and Permission in Principle. The commitments set out in the SCI will ensure that planning processes in Barnet are fair, transparent and inclusive.

Officers Recommendations

1. That the committee notes the content of the draft Statement of Community Involvement (SCI) (attached at Appendix A).
2. That the Committee approves the draft SCI as the basis for public consultation. The SCI will then return to the Committee with the consultation responses.
3. That the Committee delegates authority to the Deputy Chief Executive to make any necessary changes of a minor nature to the draft SCI in consultation with the Leader prior to public consultation

1. WHY THIS REPORT IS NEEDED

- 1.1 Effective community involvement in decision-making is a vital part of supporting communities to become more active and resilient. It supports local people to shape their area and the services they receive, making sure that services and policies are effective at meeting local need. Community involvement in the planning process means that local people have the opportunity to help shape the places and spaces in the Borough where they live, work and study.
- 1.2 The SCI sets out Barnet's commitments with regards to community involvement in all planning matters. The document provides the processes by which consultation and engagement will be conducted on planning policy documents and planning applications. The SCI details how we intend to conduct consultation and engagement in order to make the planning process transparent, inclusive and accountable.
- 1.3 The Council's first SCI was adopted in 2007 and substantially revised in 2015. Since then, there have been a number of changes to planning legislation as well as technological advances which have changed the way that public consultation is conducted. This SCI reflects these changes.
- 1.4 The council is legally required to identify suitable people/organisations and to consult with them about our Local Plan. Consultation on the Draft SCI provides an opportunity to update our consultation database, to ensure we are able to contact the right people in relation to policy making within the borough
- 1.5 The SCI forms part of Barnet's Local Plan and in relation to all planning matters sets out:
 - What the Council will consult and engage the community on;
 - When the Council will consult and engage the community;
 - How the Council will consult and engage the community; and
 - Who within the community the Council will consult and engage with.

2. REASONS FOR RECOMMENDATIONS

- 2.1 The Government's National Planning Policy Framework (2012) reinforces the importance of community involvement in the planning process. It states at paragraph 155 :

“Early and meaningful engagement and collaboration with neighbourhoods, local organisations and businesses is essential. A wide section of the community should be proactively engaged, so that Local Plans, as far as possible, reflect a collective vision and a set of agreed priorities for the sustainable development of the area, including those contained in any neighbourhood plans that have been made.”

2.2 The SCI is a statutory document required by Section 18 of the Planning and Compulsory Purchase Act 2004 in order that local planning authorities set out how they will engage local communities and other interested parties in producing their Local Plan and determining planning applications.

2.3 Barnet's SCI is set out as follows:

- The introduction provides a summary of the SCI and highlights the main legislation regarding consultation and community involvement in planning;
- the second section outlines how community involvement and engagement complies with Barnet's Consultation and Engagement Strategy and the various methods used;
- sections three to seven set out how we consult and involve the community on matters relating to planning applications. This highlights the introduction of permission in principle and the Brownfield Register;
- section eight relates to how we will involve and engage the community on matters relating to planning policy including the new Local Plan;
- section nine relates to Neighbourhood Planning and reflects changes arising from the Neighbourhood Planning Act 2017;
- subsequent sections relate to the Community Infrastructure Levy, Conservation Area Character Appraisals, Article 4(1) Directions as well as applications to carry out works to trees. The final section relates to resource availability for ensuring community involvement.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

3.1 The alternative option is not to revise and update this statutory document. This may mean that the opportunity to clarify the Council's approach to consultation on all planning related matters is lost.

4. POST DECISION IMPLEMENTATION

4.1 Following approval by Committee the draft SCI will be subject to a six week period of public consultation. The results of this consultation will be reported back to Committee with a revised SCI recommended for adoption. Upon adoption the SCI will be used by Development Management and Strategic Planning services as the basis for all planning consultations

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

5.1.1 The Corporate Plan 2015-2020's vision for more involved and resilient communities is embedded within the SCI. The vision states that greater community participation, engagement and involvement will be an essential part of the change the council will achieve over the next five years.

5.1.2 The Consultation and Engagement Strategy sets out what good community engagement requires with objectives for local communities and residents to provide them with opportunities to:

- Gain greater awareness and understanding of what the council does
- To voice their views and know how they can get involved
- To have their views fed into the democratic decision making process

5.1.3 The approach to consultation and engagement within the SCI is consistent with the Barnet Engagement Model as set out in the Consultation and Engagement Strategy.

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

5.2.1 The cost of producing the SCI is included in Re Contract.

5.2.2 Consultation activities in relation to planning policy are funded by the party commissioning the policy work as relevant consultation activity is a requirement for bringing forward policy.

5.2.3 Consultation and engagement activities relating to planning applications are funded by fee income or bespoke arrangement with the developer.

5.3 Social Value

5.3.1 The Public Services (Social Value) Act 2012 requires people who commission public services to think about how they can also secure wider social, economic and environmental benefits.

5.3.2 Social benefits will be secured through the opportunities given to the local community and residents to be involved in all planning matters.

5.4 Legal and Constitutional References

5.4.1 The Planning and Compulsory Purchase Act 2004 and the Town and Country Planning (Local Planning) (England) Regulations 2012 provide guidance on the preparation and adoption of the Local Plan. Upon adoption the SCI becomes a statutory document that forms part of Barnet's Local Plan.

5.4.2 Under the Council's Constitution, Document Article 7 (section 7.5 Responsibility for Functions) sets out that the Policy and Resources Committee is responsible for the overall strategic direction of the Council including responsibility for Local Plans.

5.5 Risk Management

5.5.1 Failure to update the SCI could lead to challenges that the Council is not undertaking consultation in accordance with current Planning Regulations and other relevant legislation. This would leave engagement procedures and therefore planning decisions open to challenge because they have not been made in accordance with the statutory SCI

- 5.5.2 This risk has been managed by ensuring that, at the very least, the minimum consultation requirements set out in the Local Plan Regulations and Development Management Procedure Order are adhered to.

5.6 Equalities and Diversity

- 5.6.1 The Equalities, 2010 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 of different groups; and
 - Foster good relations between people from different groups.

Relevant protected characteristics are: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

- 5.6.2 The SCI will help ensure the opportunity is given to all sectors of the community to participate in local planning processes. It sets out how we will involve the rich diversity of local residents, businesses and community groups in the preparation of planning documents and the consideration of planning applications so that all voices are heard, consultations are accessible and inclusive to different groups including hard to hear voices.

5.7 Consultation and Engagement

- 5.7.1 The Draft SCI will be subject to a six week period of public consultation where representations received during the consultation will be taken into consideration in revising the final SCI.
- 5.7.2 The Local Plan database is used for planning consultations and contains approximately 1,300 contacts. Individuals and organisations can request to be added to or removed from our Consultation Database.

5.8 Insight

- 5.8.1 N/A

6. BACKGROUND PAPERS

- 6.1 Barnet's Statement of Community Involvement, July 2015
<https://www.barnet.gov.uk/citizen-home/planning-conservation-and-buildingcontrol/planning-policies-and-further-information/statement-of-communityinvolvement.html>

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Local Plan

Draft Statement of Community Involvement

June 2018



How to contact the Council's Planning Service

Address:

Barnet House, 1255 High Road, Whetstone, London
N20 0EJ

Tel: 020 8359 3000

Email: planning.enquiry@barnet.gov.uk



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‘We’

Throughout this document the expression ‘We’ is used instead of the term ‘The Council’. ‘We’ is intended to illustrate the fact that the Council has shared interests with local residents, businesses and community groups and places high value on the views and input received through consultation on all planning issues.

1. Introduction

1.1 Background

- 1.1.1 The Statement of Community Involvement (SCI) sets out how we will involve local residents, businesses and community groups in the preparation of planning documents and the consideration of planning applications.
- 1.1.2 Through the SCI the council will ensure that the planning processes of the council are clearly set out and enable more people to get involved in shaping plans and planning decisions.
- 1.1.3 Barnet's first SCI was adopted in 2007. Following changes to service delivery and the introduction of Neighbourhood Plans it was reviewed in 2015. This 2018 revision signals the review of the Local Plan and reflects further planning reforms in the Housing & Planning Act 2016 and the Neighbourhood Plan Act 2017.
- 1.1.4 This SCI sets out:
 - **What** the council will consult and engage the community on;
 - **When** the council will consult and engage the community;
 - **How** the council will consult and engage the community; and
 - **Who** within the community we will consult and engage with.

1.2 Legal Requirements

- 1.2.1 The legal requirements for consultation and community involvement in plan-making (the process of writing planning policy) and planning applications are set out by Government in legislation including:

A: Planning applications – [The Town and Country Planning \(Development Management \(Procedure\) \(England\) Order 2015](#). This sets out the steps local authorities must take with regard to the processing and administration of planning applications from the point where an application is made through to the way in which decisions are recorded.

B: Plan-making – [The Town and Country Planning \(Local Planning\) \(England\) Regulations 2012](#). The Regulations set out the procedure to be followed by local planning authorities in relation to the preparation of local plans and supplementary planning documents including who is to be consulted and which documents must be made available at each stage of the process.

C: General Public Sector Equalities Duty (PSED) – The PSED consists of a general duty with three main aims (set out in section 149 of the Equality Act 2010). The general duty applies equally across Great Britain and commenced in April 2011. It 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

2. Effective Community Involvement

2.1 How we will consult and engage

- 2.1.1 The council's approach to what good engagement looks like is set out in [Barnet's Consultation and Engagement Strategy](#). The SCI has been shaped by the Consultation and Engagement Strategy.
- 2.1.2 The council uses various methods of consultation depending on the subject matter, the level of engagement required, and the type of stakeholders i.e. community groups or children, we are trying to reach. In some cases this will require a multi-method approach.
- 2.1.3 When selecting which consultation methods are the most appropriate to use, the council will consider factors including accessibility, equality, cost, effectiveness and timeliness.

2.2 Channels of Communication

- 2.2.1 There are a range of communication channels used by the planning service for public engagement during consultation and for providing points of contact for the general public. These channels include:
 - The council website (Engage Barnet, Planning Policy web pages, Planning application search facility)
 - Social media
 - Barnet First magazine
 - Workshop events
 - Focus groups
 - Voice of the Child networks
 - Public notices
 - CommUNITY Barnet
- Citizen's Panel
- 2.2.2 Further details of these communication channels are set out below.

Barnet Council Website - www.barnet.gov.uk

- 2.2.3 The website provides a channel for direct contact with the council. It is home to many web pages concerning different aspects of the work that the council conducts. The web pages specifically related to planning consultations are Engage Barnet, the Planning Policy web pages and the planning application search facility.

Engage Barnet

- 2.2.4 Engage Barnet is a central platform where all our major planning policy or regeneration consultations that affect a lot of residents are published. It provides an easily accessible space where comments can be submitted conveniently. We will also publish how we are acting on the results of these major planning policy consultations on this site. Engage Barnet can be accessed on the Home Page of www.barnet.gov.uk. A sample of this site is given below. Smaller individual planning application consultations are hosted on the planning portal.

Figure 1: Engage Barnet web page



Welcome to Engage Barnet

Engage Barnet is a new way for you to get involved in local decision making at a time and a place that suits you. We will also keep you updated on how you can get involved in your local community.

The site gives you the opportunity to feedback and share ideas about the area you live in so that you can influence the decisions we make in the borough. It could be about the services you receive from the council or our partners, improvements in your local community, or to have your say on development of our services or new policies we are working on.

You can also find out how we are using your [feedback and ideas](#) to help inform decisions.

Planning

Policy web pages

- 2.2.5 The council also has dedicated planning policy webpages. These publicise consultations and provide further context about Barnet's Local Plan and the development of local planning policy. <https://www.barnet.gov.uk/citizen-home/planning-conservation-and-building-control/planning-policies-and-further-information.html>. A sample is given below.

Figure 2: Planning Policy web page

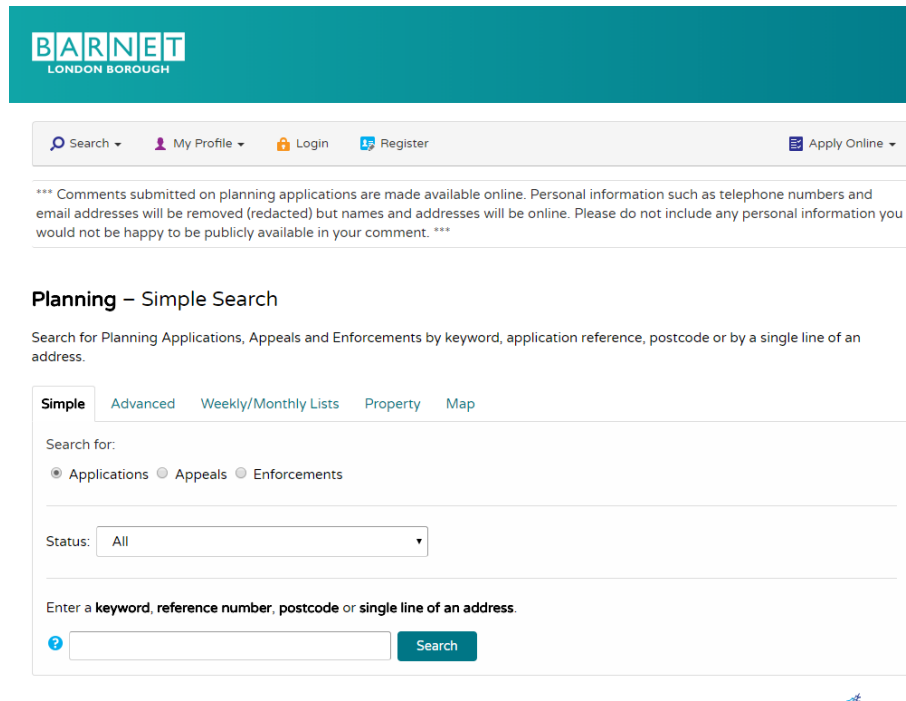


Planning application search facility

- 2.2.6 The council web site provides a planning application search facility which can be used to search for individual planning applications. The search facility is comprised of

a series of tabs which allows the user to conduct different searches. A user can conduct a simple or advanced search for an application or a user may produce weekly lists of planning applications received or determined by date. By selecting the property tab a user may search for the planning history of an individual property, particular road, ward or post code. <https://publicaccess.barnet.gov.uk/online-applications/>

Figure 3: The online planning application search facility.



The screenshot shows the Barnet Council website header with the logo and navigation links: Search, My Profile, Login, Register, and Apply Online. Below the header is a disclaimer about comments on planning applications. The main section is titled 'Planning – Simple Search' and provides instructions on how to search for planning applications, appeals, and enforcements. It includes tabs for Simple, Advanced, Weekly/Monthly Lists, Property, and Map. The Simple tab is selected, showing a search form with radio buttons for Applications, Appeals, and Enforcements. There is a status dropdown menu set to 'All' and a search input field with a 'Search' button. A small help icon is also present next to the search input field.

Social Media



- 2.2.7 The council considers that through the use of social media such as Facebook, YouTube, Twitter and Flickr it can reach out to a greater range of local businesses and local residents, giving them more opportunities to have a say about what is going on in the Borough. Local Plan consultations are posted on both Facebook and Twitter.

<https://en-gb.facebook.com/BarnetCouncil/barnet>

<http://twitter.com/barnetCouncil>

<http://www.youtube.com/BarnetCouncil1>

<https://www.flickr.com/photos/barnetcouncil>

Barnet First Magazine

barnetfirst

- 2.2.8 Barnet First is the council's magazine that is distributed to every household in the Borough every three months. Barnet First can provide an opportunity to raise awareness amongst Barnet residents of forthcoming planning policy consultations.

<https://www.barnet.gov.uk/citizen-home/council-and-democracy/council-and-community/barnet-first-magazine.html>

Citizens' Panel

- 2.2.9 The Panel is a representative sample of Barnet residents who consider up to four questionnaires a year. The panel is another engagement tool that may be used for consulting on our planning policy documents.
- 2.2.10 The panel currently has 2,000 Barnet residents as members. The Panel's membership is continually refreshed so as many residents as possible have an opportunity to get involved in local decision making. Once residents have accepted an invitation to be a member of the panel they are asked to complete a profiling questionnaire, which enables us to select on the basis of key demographics such as age, gender, ethnicity, disability and where they live. The complete panel is then designed to be representative of the borough. Residents are given a three year membership. More information about the Citizens Panel is available on the council website. <https://www.barnet.gov.uk/citizen-home/council-and-democracy/democracy-and-elections/consultations/barnet-citizens-panel.html>.

Workshop Events

- 2.2.11 Workshops are another engagement tool and are considered most effective as a means used for evidence gathering. Workshops can be more interactive than presentations or conferences and are normally comprised of small groups where active discussion is encouraged and views are exchanged. Workshop outputs can be very useful for steering documents in early stages of production.
- 2.2.12 We know that for example children and young people prefer to be contacted by face to face engagement within the context of the school environment. Where appropriate opportunities to provide face to face engagement for under-represented groups will be explored with relevant partners in the Council and/or through local community organisation networks such as CommUnity Barnet.

Public Notices

- 2.2.13 Public notices placed in the local newspapers are used to notify residents of consultations on a range of planning policy documents and major planning applications.



- 2.2.14 Public notices are used for a range of planning applications including:
- Development which requires an assessment of likely environmental impacts (Environmental Impact Assessment)
 - Major applications
 - Listed building consent

2.3 Who we will seek to Involve

- 2.3.1 We want to involve as many people as possible in plan making and planning decisions. In shaping the future of Barnet we particularly want our children and young people to get involved in planning. The greater the number the better understanding the council will have of the range of views on planning issues in Barnet. This is what the Statement of Community Involvement aims to achieve.
- 2.3.2 As part of the Council's partnership with UNICEF, the council's 'Voice of the Child' team provides support with the engagement of children and young people in the

borough to ensure their needs and considerations are sought and heard within the work we do. This team manage focus groups and communication networks to provide effective tools for engagement with children and young people. Where appropriate, such as in relation to the review of the Local Plan, this team will be brought in to support consultation and engagement processes.

2.4 Local Plan Consultation Database

- 2.4.1 The Local Plan database is used for planning consultations and contains approximately 1,300 contacts. Individuals and organisations can request to be added to our Consultation Database, and will then be notified of all forthcoming Local Plan consultations. If you do not wish to receive updates about planning policy documents, please contact us and we will remove your details from our database.

Local Plan Consultation Database

To be included in our Local Plan Consultation Database please email your contact details to

forward.planning@barnet.gov.uk;

For our purposes it is useful if you can let us know if you are a Barnet resident or are acting on behalf of an organisation/employer.

2.5 Equalities Monitoring

- 2.5.1 All planning policy consultations will be accompanied by equalities monitoring forms. This will enable us to analyse data collected and identify specific issues relating to any individual groups should this arise.

3. Have your say on planning applications

3.1 The Planning Application Process

3.1.1 The Planning Service deals with all planning applications in Barnet. It processed over 7,500 planning applications in 2017/18. These included applications for development and changes of use as well as listed building consent and advertisements.

3.1.2 The planning application process is set out in the chart below. There are two distinct stages for community involvement in the planning application process: pre-application and application consultation (highlighted in blue below).

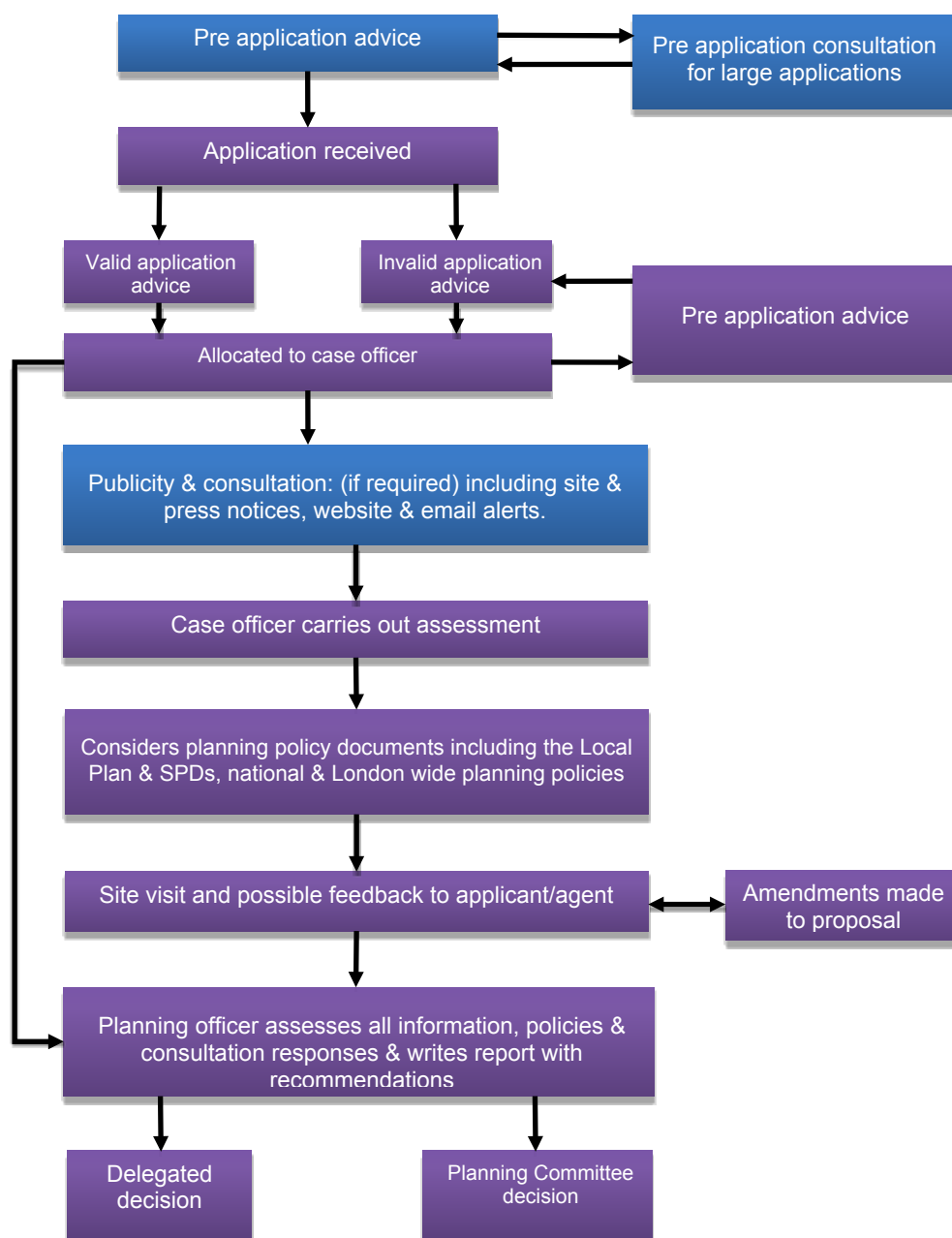


Figure 4: The planning application process

"Householder application" means:

- An application for planning permission for development of an existing dwelling house, or development within the curtilage of a dwelling house for those living there.

The definition does not include applications for changes of use or applications to change the number of dwellings in a building.

"Major development" means

- Housing developments of more than 10 dwellings;
- Housing development on a site of 0.5 hectares or more;
- Any other development with a floor area of 1,000m²;
- Any other development on a site of 1 hectare or more; and
- Waste development

- 3.1.3 The vast majority of planning applications considered by the council are small scale developments e.g. householder applications. The council aims to determine planning applications within 8 weeks of validation.
- 3.1.4 Planning applications for major development require wider community consultation and a greater degree of community involvement. Applying for major development is more complex and the applicant is required to submit a larger amount of documentary evidence (e.g. a transport assessment). The council aims to determine major applications within 13 weeks of validation.

4. Pre-application Consultations

4.1 What are pre-application consultations?

- 4.1.1 Pre-application consultation can be undertaken by a developer before submitting a formal application. The process and details are discussed with planning officers at a pre-application meeting. We request pre-application consultation on all large scale major development proposals and in general it is considered appropriate for schemes where:
- the proposals are likely to have a significant impact on the environment or on the local community, and
 - the nature of the development is likely to attract significant local interest.
- 4.1.2 The aim of pre-application consultation is to encourage discussion before a formal application is made, enabling communities to have an influence on a planning proposal before it is finalised. The process can help to identify improvements and overcome objections at a later stage. Such pre-application consultations can take the form of exhibitions, presentations, workshops or simply a letter or mail shot.
- 4.1.3 The output of a pre-application consultation should feed into a Statement of Pre-application Consultation which is submitted with the subsequent planning application. This report should set out the main issues raised and how the proposals have addressed them.
- 4.1.4 Planning and Development Forums are another form of pre-application consultation. These are meetings organised by the council which bring together interested parties to discuss planning proposals. Developers can present their proposals in public before they make a formal application. The Forum aims to raise local awareness of a scheme at an early stage before it is formally submitted to the council.

4.2 Pre-application Advice

- 4.2.1 We encourage developers to seek the council's views on development proposals, particularly for major or complex schemes, before they submit a planning application. Pre-application meetings help identify key issues and help to ensure that a planning application closely accords with planning policies. An appropriate fee is charged for the pre-application advice service.
<https://www.barnet.gov.uk/citizen-home/planning-conservation-and-building-control/submit-a-planning-application/pre-application-advice.html>. More detailed information is available on the planning pages of the council website.

4.3 Duty Planning Officer Service

- 4.3.1 The Duty Planning Service is currently available on the phone during office hours and face to face three mornings a week. Opening times and location are available on the council website
- 4.3.2 The Duty Planning Officer is able to provide general advice on planning issues. However, for information regarding a specific planning application it is advisable to contact the appointed planning officer directly.
- 4.3.3 The pre-application charging scheme does not apply to informal initial discussions in connection with very small business premises, or very minor schemes or householder schemes (small extensions/alterations), certificates of lawfulness, enforcement or advice of any local resident affected by a development. Such verbal advice at this time will continue to be provided free of charge. This applies to the Duty Planning Officer service.

4.3.4 The more information that a customer can provide the easier it will be for the Duty Planning Officer to offer detailed and specific advice. The Duty Planning Officer usually requires the following from customers:

- Plans or sketch drawings;
- a clear idea of what you want to do;
- able to describe the site
- describe any buildings and current uses;
- details of any previous planning permissions if known; and
- photographs of the site and surrounding area

5. Planning Applications

5.1 Processes and procedures

- 5.1.1 On receipt of an application the planning service will check it in order to determine whether it is valid. A valid application comprises:
- Information requested on the standard application form
 - Mandatory national information requirements, including a design and access statement¹ if one is required, and
 - Local application requirements
- 5.1.2 Once a planning application has been validated the council is responsible for carrying out consultation through statutory publicity and notification². The council's approach to publishing and consulting upon planning applications is:
- to consult for 28 days thereby exceeding the minimum statutory requirement of 21 days;
 - to publish applications on the council's website via the planning application search facility (paragraph 2.1.6). Applications can also be viewed at the Planning Reception at Barnet House; and
 - to publish a site notice and press advertisement when necessary and issue neighbour consultation letters
 - to consult various specialists and relevant organisations when this is required. This includes [Statutory Consultees](#)³, such as neighbouring authorities, the Environment Agency, Natural England and other organisations, when appropriate.
 - to consult various internal services such as Highways or Environmental Health where this is necessary,
- 5.1.3 In order to effectively process responses to planning applications the council expects all comments to be received in writing within the specified consultation period. Comments can be submitted either by letter, email or on-line.
- 5.1.4 The council values the contribution of all responses to planning applications to the decision making process. It will endeavour to consider late responses in exceptional circumstances.
- 5.1.5 If, for disability reasons, people have difficulty getting to the Planning Reception, the case officer will visit them (on appointment) with a copy of the plans.

5.2 How we will let you know about planning applications

- 5.2.1 The council is required to publicise the majority of planning applications. Certificate of Lawfulness applications are published and can be viewed using the on-line search facility. Minimum requirements for how people are notified of planning applications are set out in legislation and explained in the table below.

¹ A design and access (DAS) statement is a short report accompanying and supporting a planning application. They provide a framework for applicants to explain how a proposed development is a suitable response to the site and its setting, and demonstrate that it can be adequately accessed by prospective users. See <http://www.planningportal.gov.uk/planning/applications/howtoapply/whattosubmit/designaccess>

² [The Town and Country Planning \(Development Management \(Procedure\) \(England\) Order 2015](#)

³ <http://planningguidance.planningportal.gov.uk/blog/guidance/consultation-and-pre-decision-matters/table-2-statutory-consultees-on-applications-for-planning-permission-and-heritage-applications/>

Table 1: Notification methods for planning applications

Method	Statutory Requirement	Comment
Site notices	Yes*	Notices are displayed in a public place at or near the application site. They contain details of the proposal, where plans can be viewed and the name of a contact officer dealing with the application. One or more notices may be displayed depending on the size and location of the proposed development. The notice is displayed for 21 days.
Letters	Yes*	Letters are sent to occupiers within the same building as the proposed development and to adjoining neighbouring properties which are contiguous [touching a boundary] to the application site.
Website	Yes	Barnet's website contains details of all applications including copies of all associated documents and drawings. You can search by a number of criteria, track the progress of applications and submit comments online.
Weekly list of applications	No	Weekly lists of planning applications can be viewed on the website by using the search facility.
Public notice	Yes	As and when required a notice is published in the local press for various types of applications including: <ul style="list-style-type: none"> • Major applications • Listed building consent • Developments affecting the character/appearance of a conservation area • Applications accompanied by Environmental Impact Assessment (EIA) • Departures from the development plan

* The requirement is for either a site notice or letter.

5.3 Who we will consult on planning applications

5.3.1 In deciding who to consult on a planning application we take the following into account:

- those directly affected by the development proposal – we consider 'directly affected' to mean adjoining neighbouring properties which are contiguous [touching a boundary] to the application site and occupiers within the building to which the application site relates as a minimum. Barnet will consult in accordance with Barnet's adopted Guidance on Consultation and Publicity of Planning Applications, which goes beyond the minimal requirements as laid out in legislation. For major developments with a wider effect, consultation will be carried out accordingly.
- regulations about statutory consultation – Schedule 4 of the Town and Country Planning (Development Management Procedure) (England) Order 2015, sets out which statutory bodies should be consulted with regards to particular types of development.
- the type of application – this may mean that consultation is necessary with the relevant conservation area advisory committee, or other relevant non-statutory consultee; and
- the Mayor of London may be consulted on applications considered to be of 'potential strategic importance'. The mechanism for this statutory power is set out in the [Town and Country Planning \(Mayor of London\) Order 2008](#).

5.3.2 We recognise that local community groups and organisations may be interested in planning applications in their area and therefore promote and encourage the use of the email alert facility available on the [Council's website](#).

5.4 Submitting a representation (comment/objection) on planning applications

- 5.4.1 Residents notified by post of a planning application may email (included in the letter) the appointed case officer directly. Alternatively, representations can be emailed to planning.consultation@barnet.gov.uk.
- 5.4.2 Respondents are required to quote either the planning application number or the full location details for the site in any correspondence.
- 5.4.3 The council will accept petitions and pro-forma letters as representations, but due to the potentially large number of individual addresses contained in representations of this kind, it may not be possible to reply individually to all those who have submitted a representation. In such circumstances the council will write to the owner of the petition/pro-forma letter where possible or seek alternative methods of communication.
- 5.4.4 Comments made on planning applications must be made in writing and be received before the consultation period closes. Where an applicant has to make significant changes to a development description (for the purposes of an application) the application must go through a further period of consultation. Representations in such circumstances must be made within 14 days. The council will normally only acknowledge receipt of responses received by email and those on receipt of a stamped, self-addressed envelope, if one is supplied. We will also notify everyone who made a comment of the council's decision.

The council cannot accept anonymous objections on planning applications or planning policy consultations.

Planning applications can only be decided on those matters relevant to planning. These matters are called “material considerations”.

“Material Considerations” are factors considered in the determination of applications for planning permission and other consents, alongside the Local Plan. They include:

- Effects on traffic, access and parking;
- Scale and appearance of proposal and impact on surrounding area;
- Loss of light;
- Overlooking and loss of privacy;
- Effect on nature conservation and loss of trees;
- Effect on a conservation area;
- Effect on a listed building; Noise pollution;
- Whether the use would be appropriate for the area
- National, regional and local planning policies.

“Non-material Considerations” are factors that cannot be considered in the determination of applications for planning permission and other consents. They include:

- Loss of property value;
- Loss of a view;
- Private issues between neighbours such as land covenants, land boundary disputes, damage to property;
- Problems associated with construction works being carried out, such as noise, dust and disturbance by construction vehicles;
- Competition between firms;
- Structural and fire precaution matters

Often residents want to comment on matters that cannot be taken into account because they are not controlled by planning legislation. These are non-material considerations.

5.5 Other Types of Planning Applications

- 5.5.1 We carry out consultations on other applications in accordance with statutory requirements. Consultations are undertaken according to the following general principles:

Listed Building Consent

For development involving the demolition, in whole or part, or the material alteration of Grade I or II listed buildings, Listed Building Consent is required and for works that affect its character as a building of special architectural or historic interest.

These applications are advertised in the local newspaper and by site notice, except where the works are only internal and where the building is listed Grade II.

Where demolition of a listed building is involved, we consult the National Amenity Societies⁴

We consult Historic England in accordance with government guidance.

Other consultation is carried out as appropriate for the individual application e.g. with the local amenity society.

We will consult with Historic England on development sites within Areas of Archaeological Significance as set out in section 2.17 of Barnet's SPD on Sustainable Design and Construction.

Certificates of Lawfulness

If you want to be certain that the existing use of a building is lawful for planning purposes or that your proposal does not require planning permission you can apply for a Certificate of Lawfulness.

Decisions on these applications are a matter of law, not of planning policy so there is no requirement to consult on them. We may, on occasion, consult adjacent occupiers and local amenity societies on applications for a lawful development certificate for existing uses, operations or activities in order to confirm the assertions about the development put forward by the applicant.

Advertisement Consent

You may need to apply for advertisement consent to display an advertisement bigger than 0.3 square metres (or any size if illuminated) on the front of, or outside, your property (be it a house or business premises).

We consult as required by the Regulations, e.g. in relevant cases with the Secretary of State for Transport, neighbouring Boroughs, and bodies responsible for railways and waterways.

Prior Approval

There is a 'prior approval' procedure for single storey rear extensions on dwellinghouses and for changes of use from offices and retail units to residential (among other types of development). For prior approval applications we consult as required by the relevant legislation (Town and Country Planning (General Permitted Development Order) 2015) by serving a notice on adjoining owners or occupiers immediately adjoining the site for a period of 23 days and by displaying a site notice for the same period for the change of use from offices or retail to residential.

Permission in Principle (PiP)

The council has a duty to publish a Brownfield Land Register of previously developed land suitable for housing. For sites that are listed in Part 2 of our Brownfield Land Register a grant for permission in principle will be triggered. These sites have been considered suitable for PiP from the Brownfield Land Register. PiP separates the consideration of matters of principle for proposed development from the technical detail of the development. Consultation requirements to be undertaken before sites entered on the Brownfield Land Register can be granted PiP are set out in the Town and Country Planning (Brownfield Land Register) Regulations 2017. Statutory bodies are consulted and site notices and an online notice will be made available during this period.

⁴ As required by Arrangements for Handling Heritage Applications – Notification to Historic England and National Amenity Societies and the Secretary of State (England) Direction 2015). The Societies are the Ancient Monuments Society, the Council for British Archaeology, the Georgian Group, the Society for the Protection of Ancient Buildings, the Twentieth Century Society and the Victorian Society.

5.6 Decision Making on Planning Applications

5.6.1 The council will make decisions on planning applications by considering the advice of Planning Officers, the Local Plan and other relevant material considerations. Such decisions are made in two ways. These are by:

- Delegated powers; and
- Planning Committees.

5.6.2 The majority of planning applications in Barnet are determined under a delegated scheme to the Head of Development Management.

5.6.3 Where five or more objections are received in relation to a planning application (that has been recommended for approval by the appointed planning officer) it will be determined by an Area Planning Committee. The Area Planning Committees are open to the public and all committee papers are available on the council website. When an application has to be decided by Area Planning Committee, the council offers people who have made representations the opportunity to speak and make direct representation to Councillors.

5.6.4 The council's public participation arrangements as laid out in the council's Constitution, <https://www.barnet.gov.uk/citizen-home/council-and-democracy/governance/how-can-i-have-my-say.html> contain the rules for people wishing to speak at the committee.

5.6.5 Committee reports and the agenda are published to view on the council's website five clear working days before the meeting. Agendas can also be viewed at the Planning Reception at Barnet House.

Planning Committees

In order to give citizens a greater say in Council affairs there are three Area Planning Committees dealing with planning applications. These are divided into three areas: Finchley and Golders Green, Chipping Barnet and Hendon Area Planning Committees.

There is also a Planning Committee which considers planning applications that: represent a departure from the Local Plan; are on behalf of the council or where the council has a significant interest; are referred to the Mayor of London and matters of significance to the entire Borough.

Taken from [Barnet Council's Constitution](#),

What happens after a planning application is decided?

5.7 Appeal to the Secretary of State

5.7.1 When an application is refused, is approved subject to planning conditions or Section 106 requirements for affordable housing an appeal may be made to the Secretary of State. Nearly all appeals are decided by an Inspector. Before making an appeal, discussion with the planning department is encouraged as there may be an opportunity to resolve the issue. A further application may be the best possible course of action and an appeal should only be made when all other possibilities have failed.

5.7.2 There is no right of appeal for third parties. This means that if planning permission is granted a member of the public cannot take the application to an appeal.

5.7.3 Appeals must generally be made within a specified time period of the decision date to refuse an application.

Further information regarding appeals can be found on the Planning Portal (<http://www.planningportal.gov.uk/planning/appeals/>).

6. Brownfield Land Register

6.1 Overview

6.1.1 The council has a duty to publish a Brownfield Land Register of previously developed land suitable for housing. Part 1 of the Register must include previously developed land of 0.25ha or larger, or capable of supporting at least 5 dwellings that are suitable, available, achievable. Part 2 includes sites that the council has decided to allocate the land for residential development after carrying out the statutory notification, publicity and consultation requirements. Proposals to give any of the land on the Register PIP will be the subject to consultation in line with the Regulations.

6.1.2 The register will be updated at least once a year.

7. Enforcement Issues

7.1 Overview

7.1.1 The council encourages the community to report cases where they believe that there has been a breach of planning control. All planning enforcement related complaints are treated confidentially.

7.2 The Process

7.2.1 If the complaint results in a planning application being submitted, then this will be publicised in the normal manner and adjoining neighbours and complainants notified.

7.2.2 Members of the public can complain about development that is occurring:

- Without planning permission or a similar consent such as Listed Building Consent
- Without complying with conditions that have been attached to a permission
- That is not in accordance with an approved plan

7.2.3 In cases where planning enforcement action is taken or not, complainants are informed of the action or offered a full explanation for no action being taken providing the council's reasons. Many initial complaints relate to non-enforcement issues in the Borough, such as permitted development-type extensions or alterations to a dwelling house. In such cases, the council will provide the individuals involved with the guidelines for permitted development which do not require planning permission. Such guidance can also be obtained from the Planning Portal website www.planningportal.gov.uk.

8. Complaints to the Council

8.1 How and when to make a complaint

8.1.1 In circumstances where it is considered that planning applications have not followed the correct council consultation procedure a complaint can be submitted.

8.1.2 Please note that a complaint cannot result in the change of a planning decision.

- 8.1.3 The quickest way to make a complaint or compliment is to complete the online form:

<https://www.barnet.gov.uk/citizen-home/council-and-democracy/forms/Comments--compliments-and-complaints/1-Data-protection.html?mgnlFormToken=80b26a38-d13d-4459-b4c2-fc6a9dda2b6e>

alternatively you can contact:

Tel: 0208 359 3000 or email: first.contact@barnet.gov.uk

- 8.1.4 The Council's Corporate Complaints Policy can be downloaded through the website

<https://www.barnet.gov.uk/citizen-home/council-and-democracy/council-and-community/comments-compliments-and-complaints.html>

8.2 Local Government Ombudsman

- 8.2.1 Only once Barnet's complaint procedures have been completed can a complaint be taken to the Local Government Ombudsman (LGO). This service explores complaints about councils and some other authorities in a fair and independent way and is a free service. Further information can be found on their website -

<http://www.lgo.org.uk/>

Or call the LGO Advice Team on 0300 061 0614. Offices are open Monday to Friday 8:30am – 5:00pm.

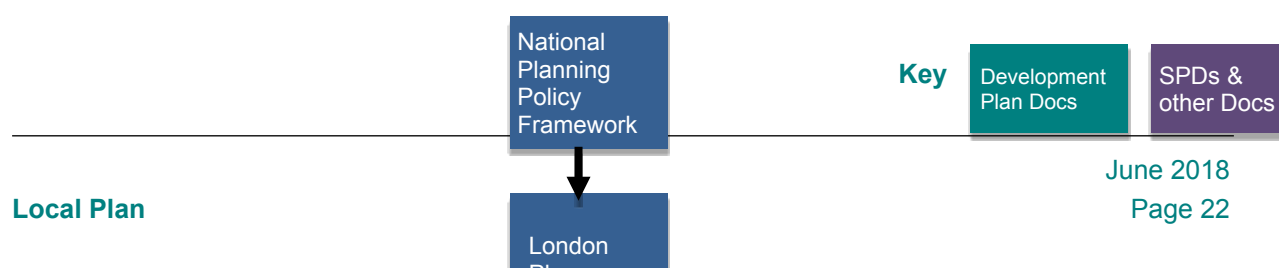
9. Planning Policy Consultations

9.1 Barnet's Local Plan

- 9.1.1 The council is under a statutory duty to put in place a framework of planning policies which can be used to guide development proposals and determine planning applications. This framework is called the Local Plan (formerly the Local Development Framework or LDF) and is comprised of Development Plan Documents (DPDs) and Supplementary Planning Documents (SPDs). The Local Plan shapes the future of Barnet as a place, providing the overarching local policy framework for delivering sustainable development. The council is producing a new single Local Plan document will look ahead to 2036 and integrate strategic policies, development management policies and site proposals in alignment with the Mayor's London Plan as well as being consistent with the National Planning Policy Framework (NPPF).
- 9.1.2 The new Local Plan will replace the Core Strategy and Development Management Policies documents and sit alongside existing Area Action Plans for Colindale and Mill Hill East as well as the North London Waste Plan, a specific planning document being produced jointly by seven North London boroughs.
- 9.1.3 The diagram below illustrates the structure of Barnet's emerging Local Plan within the context of national and regional planning policy.

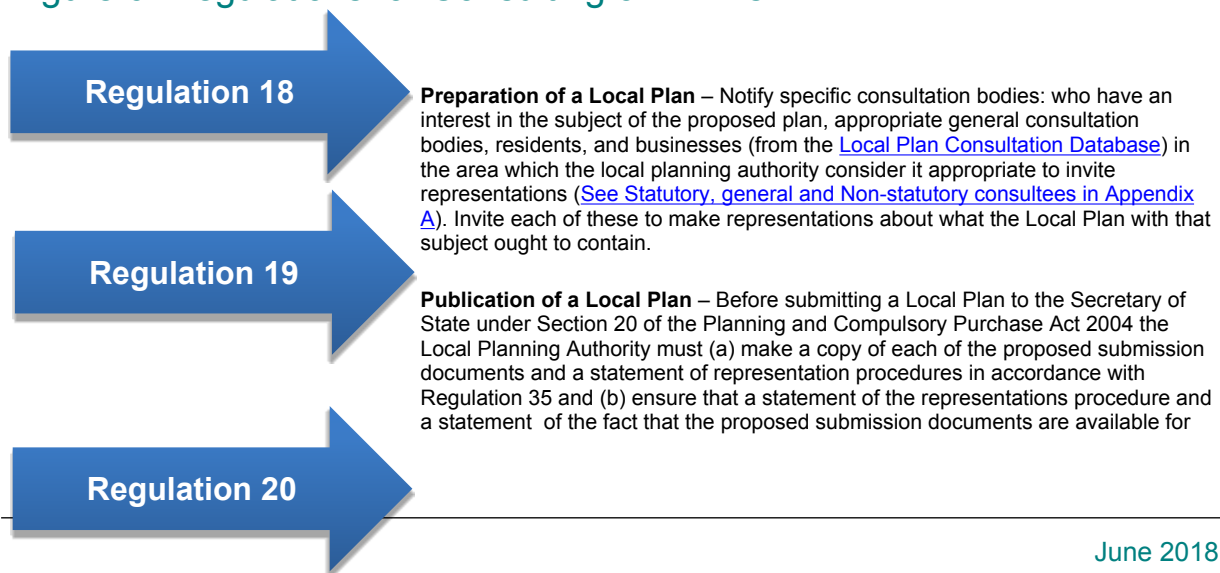
9.2 Development Plan Documents (DPDs)

Development Plan Documents are the starting point for a local authority's planning decisions. Planning decisions have to accord with the Local Plan unless indicated otherwise by other important matters (known as 'material considerations'). **Figure 5: Barnet's Emerging Local Plan**



- 9.2.1 Development Plan Documents are subject to a rigorous statutory process, including community involvement. They are subject to a Sustainability Appraisal, independent examination and council agreement before adoption. The statutory preparation process for these documents is laid out in the [Town and Country Planning \(Local Planning\) \(England\) Regulations 2012](#). The main points of the regulations are set out in Figure 6.

Figure 6: Regulations for Consulting on DPDs



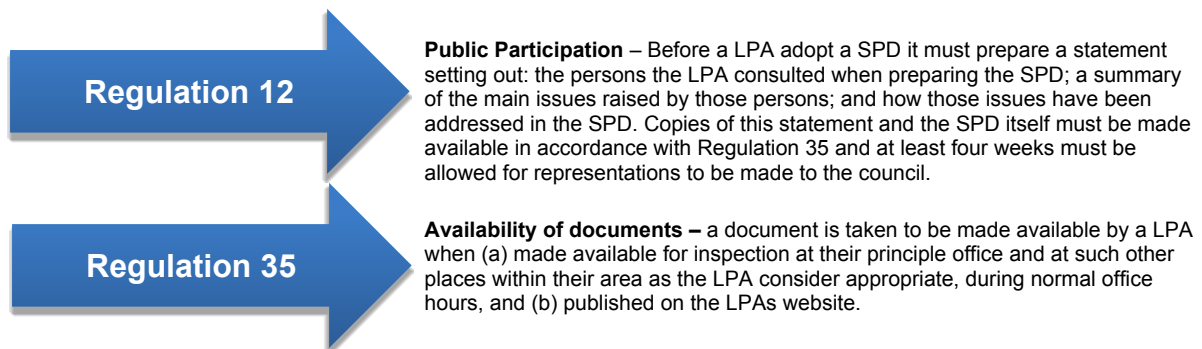
inspection and of the places and times at which they can be inspected is sent to each of the general consultation bodies and each of the specific consultation bodies invited to make representation under regulation 18.

Representations relating to a Local Plan – Any person may make representations to a LPA about a Local Plan which the LPA propose to submit to the Secretary of State: Any such representations must be received by the LPA by the date specified in the statement of the representations procedure.

9.3 Supplementary Planning Documents (SPDs)

- 9.3.1 Supplementary Planning Documents focus on specific topics and provide additional guidance and interpretation to support policies in the Local Plan. As with Local Plans, the statutory requirements for preparing SPDs are laid out in the [Town and Country Planning \(Local Planning\) \(England\) Regulations 2012](#). - the key points of which are set out in Figure 7. SPDs cover issues such as residential design, affordable housing and sustainability. SPDs are not subject to independent examination, but require council agreement before adoption.

Figure 7: Regulations for Consulting on SPDs



9.4 Neighbourhood Development Plans

- 9.4.1 These are local (neighbourhood) level planning policy documents that are created by local communities and must comply with the Local Plan. Adoption of a Neighbourhood Development Plan is subject to majority support at a local referendum (See section 8).

9.5 Local Development Scheme

- 9.5.1 The timetable for the production of Local Plan documents is set out in the Local Development Scheme. This timetable is updated annually in the Authorities Monitoring Report.

9.6 Sustainability Appraisals (SAs)

- 8.6.1 A SA is an assessment of the economic, social and environmental impacts of policies or proposals contained in certain planning documents and some area specific SPDs in order to promote sustainable development. SAs are subject to consultation and are published alongside draft and final DPDs and SPDs.

9.7 Community involvement in the preparation of a DPD

- 9.7.1 Figure 8 shows that there are usually three stages in the production of DPDs which involve public consultation and engagement. However, there will only be a third stage of consultation if any major changes are made to the draft document prior to submission to the Secretary of State. There is also an opportunity for people to speak at the Independent Public Examination.

9.8 Community involvement in the preparation of a SPD

- 9.8.1 SPDs are drafted in a similar way to DPDs; however, they are not subject to the submission and examination stages and do not usually require SAs particularly if they are related to a Development Plan Document which has already undergone a SA. There is usually just one stage of public consultation in the production of a SPD. However, if significant changes are made to the document there may be a second consultation.

Figure 8: Stages in the Production of DPDs and SPDs

Stages in the production of a DPD

Stages in the production of a SPD

9.9 Opportunities to be Involved

- 9.9.1 During the consultation stages of DPDs and SPDs, the relevant documents will be made available for inspection on the Planning Policy pages of the website and hard copies of the relevant documents will also be made available in Barnet's local libraries.
- 9.9.2 We will consult as widely as resources will allow and ensure as wide a range of views in shaping the future of Barnet. We will use email as a primary source of contact. All groups and individuals who have made comments during a consultation will be notified of further stages of consultation during the production of that document and will be informed of its formal adoption at the end of the process.

9.10 What happens to your views and comments?

- 9.10.1 When engaging the community on planning documents, we understand the importance of providing feedback to those who have made the effort to respond to our consultations; setting out how we have responded to their comments.
- 9.10.2 Two documents are produced and published alongside each consultation. The first is a Representation Report, a schedule of comments made after the consultation together with the council's responses. The **Representation Report** is usually reported to Committee as part of the decision making process of the DPD or SPD. It is therefore available for public inspection on the committee and Planning Policy section of the councils website (see Planning Committee <http://barnet.moderngov.co.uk/ieDocHome.aspx?bcr=1>).
- 9.10.3 The second document is a **Consultation Statement** this sets out who was consulted, how they were consulted, a summary of the main comments received and how these have been addressed. This too, is made available for public inspection and published on the council website.

10. Neighbourhood Planning

9.3 Overview

- 9.3.1 The Localism Act 2011 introduced statutory policies which enable communities to draw up a Neighbourhood Plan for their area. This power is intended to give communities more of a say in the development of their local area (within certain limits and parameters). More details on the legal requirements for neighbourhood planning are provided in the Neighbourhood Planning Regulations⁵.
- 9.3.2 Neighbourhood planning can involve the production of a Neighbourhood Plan or a Neighbourhood Development Order (NDO). A Neighbourhood Development Plan sets out policies for the development and use of land for the area concerned. Once formally 'made' it forms part of the statutory development plan for its area and the council must consider it when making planning decisions within the neighbourhood area. A Neighbourhood Development Order can be used to grant 'planning permission' without the need for a planning application. The process for the production of a Neighbourhood Plan is very similar to a NDO.
- 9.3.3 Neighbourhood planning can be taken forward by two types of body - town and parish councils or 'Neighbourhood Forums'. Neighbourhood forums are community groups that are designated to take forward neighbourhood planning in areas without parishes. It is the role of the local planning authority to agree who should be the neighbourhood forum for the neighbourhood area.

⁵ Neighbourhood Planning (General) Regulations: <http://www.legislation.gov.uk/uksi/2012/637/contents/made>

- 9.3.4 The criteria for establishing neighbourhood forums have been kept as simple as possible to encourage new and existing residents, organisations and voluntary and community groups to put themselves forward.
- 9.3.5 Before embarking on the process to produce a Neighbourhood Development Plan, it may be advisable to seek independent advice:

- **Planning Aid** - <http://www.rtpi.org.uk/planningaid/> - Professional advice and information available to those who cannot afford to pay professional fees.
- **Planning for Real** - <http://www.planningforreal.org.uk/> - A community planning model (using interactive, hands-on tools and techniques) that helps people to shape where they live.
- **Community Planning** - <http://www.communityplanning.net/> - Provides easily accessible 'how to' guidance on community planning and best practice.

Table 2: A summary of the key stages in Neighbourhood Planning

Stages	Stage Title	Details
Step 1	Designating Neighbourhood Area and Neighbourhood Forum	<ul style="list-style-type: none"> • Prospective Neighbourhood Forum submits an application to Barnet council to designate a Neighbourhood Area • The council publicises and consults on the Area application for minimum 6 weeks • The council designates a Neighbourhood area • The Neighbourhood Forum submits an application to be a designated Neighbourhood Forum for a Neighbourhood Area • The council publicises and consults on the forum application for minimum 6 weeks and takes decision on whether to designate the Neighbourhood Forum • Following designation the Neighbourhood Forum becomes the qualifying body.
Step 2	Preparing a draft Neighbourhood Plan or Order	Forum develops proposals (advised or assisted by the council) <ul style="list-style-type: none"> • Gather baseline information and evidence • Engage and consult those living and working in the Neighbourhood Area and those with an interest in or affected by the proposals (e.g. service providers) • Talk to land owners and the development industry • Identify and assess options • Determine whether it is likely to have significant environmental effect • Start to prepare proposals documents e.g. basic conditions statement
Step 3	Pre-submission publicity & consultation	The forum: <ul style="list-style-type: none"> • publicises the draft Plan or Order and invites representations • consults the consultation bodies as appropriate • sends a copy of the draft Plan or Order to the council • where European Directives apply, complies with relevant publicity and consultation requirements • considers consultation responses and amends Plan / Order if appropriate • prepares consultation statement and other proposal documents
Step 4	Submission of Neighbourhood Plan or Order proposal to the LPA	<ul style="list-style-type: none"> • Forum submits the Plan or Order proposal to the council • The council checks that submitted proposal complies with all relevant legislation • If the council finds that the Plan or Order meets the legal requirements it: <ul style="list-style-type: none"> ○ publicises the proposal for minimum 6 weeks and invites representations (see 8.3.2) ○ notifies consultation bodies referred to in the consultation statement ○ appoints an Independent Examiner (with the agreement of the qualifying body)
Step 5	Independent Examination	<ul style="list-style-type: none"> • The council sends Plan / Order proposal and representation to the Independent Examiner • Independent Examiner undertakes examination • Independent Examiner issues a report to the local planning authority and qualifying body • The council publishes report • The council considers report and reaches own view (save in respect of community right to build orders and proposals for modifications to neighbourhood

		plans where the modifications do not change the nature of the plan, where the report is binding)
		<ul style="list-style-type: none"> The council takes the decision on whether to send the Plan / Order to referendum
Steps 6 and 7	Referendum and Making the Neighbourhood Plan or Order	<ul style="list-style-type: none"> The council publishes information statement The council publishes notice of referendum/s Polling takes place (in a business area an additional referendum is held) Results declared Subject to results the council considers Plan / Order in relation to EU Directives and Convention rights In respect of proposals for modifications of neighbourhood plans where the modifications do not change the basic conditions, a referendum is not required. The council is required to make the modified neighbourhood plan

9.4 Stages of Consultation in the Production of Neighbourhood Development Plans

- 9.4.1 As part of the process for preparing Neighbourhood Plans, Neighbourhood Forums are encouraged to arrange community consultation events to establish the key issues within the area, gather evidence to support the plan, identify and generate options for policies, and to decide its content.

9.5 Neighbourhood Plan – Pre-submission Consultation and Publicity

- 9.5.1 It is the responsibility of the Neighbourhood Forum to undertake the first formal stage of consultation on their Neighbourhood Plan before submitting it to the council. The Forum must publicise their proposed Neighbourhood Plan for at least six weeks including details of where and when it can be viewed, and how representations can be made (to the Neighbourhood Forum). The Forum must consult with the [bodies set out in Appendix B](#) of this document and with any owners of land that is proposed to be developed within the Plan.
- 9.5.2 Following pre-submission consultation, the Neighbourhood Forum should assess all comments received, and where relevant, make changes to the Neighbourhood Plan. This should form the basis of a document called the 'Consultation Statement'. Once the Neighbourhood Plan has been finalised, it can be formally submitted to the council.

9.6 Publishing the Neighbourhood Plan

- 9.6.1 Once the Neighbourhood Plan has been submitted it will be published for at least six weeks on the council website. The council will also notify bodies referred to in the submitted Consultation Statement that accompanies the Neighbourhood Plan.

9.7 Examination

- 9.7.1 Following the above period of publicity, the council will make arrangements for the holding of an independent examination. This will include the appointment of an independent examiner, and the submission to that examiner of the Neighbourhood Plan and all other relevant documents and representations received by the council.

9.8 Post Examination

- 9.8.1 Following the examination, the examiner will produce a report which will recommend one of the following:
- That the plan proceed to referendum stage without any changes;
 - That further modifications are required to the plan, before it can proceed to referendum stage; or

- That the plan does not meet the 'basic conditions' and the plan should not proceed to referendum stage.

9.8.2 After the Neighbourhood Plan has been through examination, the council is required to publish a 'decision statement' and to bring it to the attention of those who live or work within the neighbourhood area.

9.9 Referendum

9.9.1 Following the council's consideration of the independent examiners report and decision to proceed with the Neighbourhood Plan a referendum is held in accordance with the Neighbourhood Planning (Referendums) Regulations 2012⁶. The council publishes an information statement which specifies that:

- a referendum will be held;
- The date of the referendum;
- The question to be asked in the referendum;
- a map of the referendum and the neighbourhood area; and
- a description of the persons entitled to vote (among other criteria laid out in the legislation)

9.9.2 As such the council must publish the information statement and the specified documents at least 28 working days before and throughout the referendum. .

- On the council website;
- At Barnet's Planning Reception; and
- In Barnet's local libraries.

9.10 Post Referendum

9.10.1 Following the referendum the council will publish the decision to 'make' the Neighbourhood Plan (or not to 'make' the Neighbourhood Plan, dependent upon the referendum results) on the council's website, and will write to stakeholders within and adjacent to the proposed Neighbourhood Area to inform them of the decision.

11. Community Infrastructure Levy (CIL)

11.1 Overview

11.1.1 The Community Infrastructure Levy (CIL) is a planning charge that local authorities and the Mayor of London can set on new development to help pay for community infrastructure. The legal document setting out a local CIL and the rates at which it is levied is called a 'Charging Schedule'. Barnet's CIL Charging Schedule was adopted in May 2013.

11.1.2 [The Community Infrastructure Levy Regulations 2010](#) set out the consultation requirements where an authority is developing a local CIL.

11.2 Stages of consultation

11.2.1 Future revisions of the Charging Schedule will be subject to two stages of consultation:

- the 'preliminary draft charging schedule' – the council's initial CIL proposals.
- the 'draft charging schedule' – prior to examination.

⁶ <http://www.legislation.gov.uk/ukdsi/2012/9780111525050/contents>

Both drafts must be sent to the following consultation bodies:

- neighbouring authorities; and
- The Mayor of London;

11.2.2 However, the charging authority must also invite representations on the preliminary Draft Charging Schedule from:

- Persons who are resident or carrying on business in Barnet;
- Voluntary bodies some or all of whose activities benefit Barnet; and
- Bodies which represent businesses in Barnet.

11.2.3 The publication of the Draft Charging Schedule must be accompanied by a 'statement of the representations procedure', which explains:

- the date by which comments should be received (not less than four weeks from the consultation start date),
- how comments should be submitted,
- that those commenting can request to be heard at the public examination, and
- that comments can be accompanied by a request to be notified later in the process.

11.2.4 The draft must be published on the council's website, made available for inspection and published in the local press.

11.2.5 Public notice must also be issued in the local press stating when and where the relevant documents are available for inspection.

11.2.6 When the Draft Charging Schedule is submitted to the examiner the council will notify those who have requested to be informed.

11.2.7 Once a Charging Schedule has been approved by council, notice must be given in the local press of the approval and to those persons who requested to be notified. A copy of the Charging Schedule must be sent to each of the relevant consenting authorities (the Secretary of State and the Mayor of London).

11.2.8 Government's proposal to replace the current statutory consultation requirements with a requirement on the charging authority to publish a statement on how it has sought an appropriate level of engagement. Consultation and liaison should take place with developers and landowners within the local authority area as well as statutory consultees and infrastructure providers. As CIL consultation tends to be rather technical there has been limited involvement from members of the public and residents in CIL setting. It should therefore be up to individual authorities to determine the appropriate way to engage the level of engagement to seek from residents.

12. Conservation Area Character Appraisals (CACAs)

12.1 Overview

12.1.1 There are 16 conservation areas in Barnet – these are areas of special architectural or historic interest that we believe should be preserved.

12.1.2 Most conservation areas have a Character Appraisal Statement that includes information about what makes them so special. They identify the important characteristics of an area, as well as giving residents an idea of what

enhancements could be made. It will be a material consideration when determining planning and other applications. A CACA will be comprised of a Character Appraisal and Management Proposals.

12.2 Consultation

- 12.2.1 Public consultation is an integral part of the process of preparing and adopting conservation area character appraisal statements and brings valuable public understanding and ownership to proposals for the area.
- 12.2.2 All properties within the conservation area will be notified of the consultation, which will run for a period of three weeks, either individually by letter or by a notice in the relevant local press
- 12.2.3 In addition the council will engage with other relevant interested parties including English Heritage, amenity societies and any local area heritage associations or societies on the draft CACA.
- 12.2.4 Comments will be taken into consideration in finalising the CACA and those who have played an active part in the consultation will be notified of the adoption of the final document.

13. Article 4(1) Directions

13.1 Overview

- 13.1.1 Permitted development (PD) rights allow certain building works and changes of use to be carried out without having to make a planning application. However, permitted development rights may be removed by a Local Planning Authority through the use of Article 4(1) Directions. See [Town and Country Planning \(General Permitted Development\) Order 2015](#).

13.2 Consultation

- 13.2.1 Following the making of an Article 4(1) Direction, the council will:
 - publish a notice of the direction in the local press
 - display at least two site notices for a period of at least six weeks
 - notify the owners and occupiers of the affected properties and land, unless this is impractical, and
 - publish a notice of the Article 4(1) Direction on the council's website.
 - a copy of the Article 4(1) Direction will be sent to the Secretary of State.
- 13.2.2 The council must allow at least 21 days for representations to be made.
- 13.2.3 The approval of the Secretary of State is required before the direction can be confirmed.
- 13.2.4 Once an Article 4(1) Direction has been confirmed, the council will inform affected owners and occupiers in the same way as required for the notification of the making of the direction (11.1.2) and send a copy of the Article 4(1) Direction to the Secretary of State.

14. Applications to Lop, Top or Fell Protected Trees

14.1 Background and procedures

- 14.1.1 Tree Preservation Orders (TPOs) can be issued by Local Planning Authorities and are made to protect trees that are of public amenity value. National guidance and information regarding TPOs and trees in conservation areas can be found in the National Planning Policy Guidance.
<http://planningguidance.planningportal.gov.uk/blog/guidance/tree-preservation-orders/>
- 14.1.2 All types of tree, but not hedges, bushes or shrubs can be protected, and a TPO can protect anything from a single tree to all trees within a defined area or woodland.
- 14.1.3 A TPO is a written order, which makes it a criminal offence to cut down, top, lop, uproot, wilfully damage or destroy a tree protected by that order, or to cause or permit such actions, without the authority's permission.
- 14.1.4 Trees in a conservation area that are not protected by an Order are protected by the provisions in section 211 of the Town and Country Planning Act 1990. Applications and notices for works to trees are published on the council website.
- 14.1.5 Site notices will be erected for applications on works to trees which are included in a Tree Preservation Order. The site notices contain further information including how to comment. In addition neighbours are notified in writing.
- 14.1.6 Unauthorised tree work is criminal, members of the public are advised to check whether (a) particular tree(s) is(are) currently protected before carrying out any work on it by contacting planningtrees@barnet.gov.uk

15. Resources

15.1 How we will resource community involvement

- 15.1.1 Undertaking consultation is a fundamental part of the planning process and it is resource intensive. Consultation generally incurs direct costs in terms of resources and staff time.
- 15.1.2 Technology has helped to reduce costs, for example, through the ability to email individuals on the Local Plan Consultation Database rather than incurring the cost of mailing letters, and the use of social media is expected to play a more prominent role in reaching out to groups such as children and young people who have previously not been as engaged with planning as other age groups.
- 15.1.3 What we have set out in this statement of community involvement is capable of being resourced from within existing budgets based on the current resources available to the planning service.
- 15.1.4 We will aim to use the most cost effective methods of consultation, whilst balancing the need to carry out the highest standards of consultation.

Appendix A - Consultees

Appendix A lists only consultees involved in the preparation of the Local Plan and not planning applications for development proposals. The appendix lists consultees as specified in Regulation 18 of the Town and Country Planning (Local Planning) (England) Regulations 2012. The lists in this section are not exhaustive, and also relate to successor bodies where reorganisations may occur.

Statutory Consultees

Part 2 of the Town and Country Planning (Local Plan) (England) Regulations 2012 specifies that the following bodies must be consulted in accordance with Section 33a of the Planning and Compulsory Purchase Act 2004 in the preparation of Local Plans.

Mayor of London

Adjoining Local Planning Authorities

Environment Agency

Historic Buildings and Monuments Commission for England (known as Historic England)

Homes England

Natural England

Clinical Commissioning Group

Transport for London

London Enterprise Partnership

Highways Agency

Relevant sewerage and water undertakers e.g. Thames Water

Relevant telecommunications companies

Relevant gas and electricity companies

Network Rail

General Consultation Bodies

Voluntary bodies some or all of whose activities benefit any part of the Borough (e.g. CommUNITY Barnet)

Bodies which represent the interests of:

- different racial, ethnic or national groups in the Borough
- different religious groups in the Borough
- different age groups (including children and young people as well as older people)
- disabled persons in the Borough
- businesses in the Borough

Government Departments (if necessary)

Ministry of Housing, Local Government and Communities

Home Office

Department for Education

Department for Business, Energy & Industrial Strategy

Department for Environment, Food & Rural Affairs

Department for Transport

Department of Health & Social Care(through relevant Regional Public Health Group)

Ministry of Defence

Department of Works and Pensions

Ministry of Justice

Department for Digital, Culture, Media & and Sport

The council will consult the following bodies, where appropriate

Age UK

Barnet Partnership Board

British Geological Survey

British Waterways

Centre for Ecology and Hydrology

Chamber of Commerce, Local CBI and local branches of Institute of Directors

Church Commissioners

Civil Aviation Authority

Coal Authority

Commission for Racial Equality

Crown Estate Office

Diocese Board of Finance

Disabled Persons Transport Advisory Committee

Environmental Groups at national, regional and local level, including;

Council for the Protection of Rural England

Friends of the Earth

Royal Society for the Protection of Birds

London Wildlife Trust

Local Historic, environmental and amenity groups and societies, including Conservation Area Advisory Committees (CAACs)

Equality and Human Rights Commission

Fields in Trust
Freight Transport Association
Gypsy Council
Health and Safety Executive
Homes and Communities Agency
Home Builders Federation
Learning and Skills Council
Royal Mail Property Holdings
Registered Providers
Sport England
Friends, Families and Travellers (FFT)
Women's National Commission
The Theatres Trust
Middlesex University
Barnet College
Metropolitan Police
Town Teams

[Contacts on the Local Plan Consultation Database \(including residents who have requested to be added to the database\)](#)

Appendix B - Neighbourhood Planning

Statutory Consultees for Neighbourhood Planning

Mayor of London

A local planning authority or parish Council any part of whose area is in or adjoins the area of the local planning authority

Homes England

Natural England

Environment Agency

Historic England (The Historic Buildings and Monuments Commission for England)

Network Rail Infrastructure Ltd

Highways Agency

Relevant telecommunications companies

Public Health or Clinical commissioning groups or successor bodies,

Relevant electric and gas companies

Thames Water

Voluntary bodies

Bodies which represent the interests of different racial, ethnic or national groups in the neighbourhood area

Bodies which represent the interests of different religious groups in the neighbourhood area

Bodies which represent the interests of persons carrying on business in the neighbourhood area, and

Bodies which represent the interests of disabled persons in the neighbourhood area.

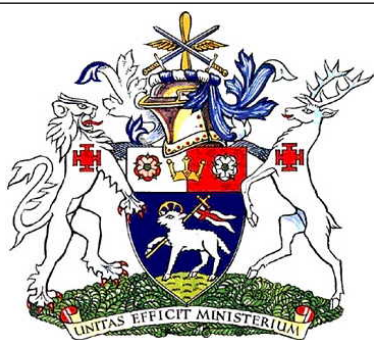


London Borough of Barnet is working with RE (Regional Enterprise) Ltd. A new joint venture between the council and Capita plc

Tel: 020 8359 3000
Email:
forward.planning@barnet.gov.uk

Planning Strategy and Regeneration
London Borough of Barnet, Barnet House,
1255 High Road, Whetstone, London,
N20 0EJ

AGENDA ITEM 11



POLICY AND RESOURCES COMMITTEE

11TH JUNE 2018

Title	CBAT Licensing to external parties
Report of	Councillor Richard Cornelius
Wards	All
Status	Public
Urgent	No
Key	No
Enclosures	Appendix 1
Officer Contact Details	<p>Chris Smith – Head of Estates Chris.Smith@barnet.gov.uk 0208 359 2987</p> <p>Kurtis Lee – Client Lead for Estates, kurtis.lee@barnet.gov.uk 020 8359 7553</p> <p>Melanie Chiknagi – Community Asset Strategy lead, Melanie.chiknagi@barnet.gov.uk 0208 359 6058</p>

Summary

This report seeks authorisation to delegate authority to the Deputy Chief Executive to enter into a joint venture with Simetrica Ltd for the further development of the Community Benefit Assessment Tool (CBAT) and to agree subsequent licensing of the CBAT to fee paying organisations. This arrangement will allow the London Borough of Barnet to enter into licensing agreements with businesses and organisations, resulting in increased revenue for the authority.

Officers Recommendations

- | |
|--|
| 1. To delegate authority to the Deputy Chief Executive to enter into a legal agreement (joint venture) with Simetrica Ltd for the further development and trading of the Community Benefit Assessment Tool. |
| 2. To delegate authority to the Deputy Chief Executive to enter into fee paying licensing agreements with external organisations. |

1. WHY THIS REPORT IS NEEDED

- 1.1 This report seeks authorisation to sign a Joint Venture agreement with Simetrica Ltd, and sign subsequent agreements with various external users for the licensing of the CBAT tool for an annual fee. The Joint Venture would formalise a majority share for LBB and is required because:
- It allows LBB to trade with organisations not covered by the 1970 Goods and Services Act.
 - Under Clause 29 of the original contract with Simetrica Ltd, LBB is not required to seek consent from Simetrica to license the software to other parties as the intellectual property rights (IPR) in the tool vests entirely in the Council (save for the IPR in the Derived Monetary Values, which vest in Simetrica, however, Simetrica has granted the Council a non-exclusive, perpetual licence in this regard.

2. REASONS FOR RECOMMENDATIONS

- 2.1 In 2015 the London Borough of Barnet led on the procurement of a provider (Simetrica Ltd) to produce a software package that could be used to transparently allocate rental subsidy to VCS groups who occupy Barnet owned community assets. Through this contract, LBB have successfully allocated subsidy to numerous community groups, which has received good feedback from the VCS groups so far. Many of these groups are already benefiting from the process, enabling them to forward plan and actively seek funding from external organisations. Following the success so far other Local authorities and private bodies have now expressed an interest in purchasing licenses of the CBAT tool to allocate subsidy to their VCS groups. Trading with public sector bodies is permitted under the 1970 Goods and Services Act but trading with private organisations is not. LBB officers have conducted informal negotiations with two private organisations so far. So, having established that there is a market, it is now necessary to have a commercial arrangement in place to allow legitimate licensing to these organisations, and others, to take place.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 Do Nothing. This was rejected because it doesn't achieve the aim to market the tool and generate a revenue stream.
- 3.2 LB Barnet could establish or utilise an existing limited company. In principle, this would be a trading arm of the Local Authority, and could be an existing registered limited company that has already been created by London Borough of Barnet. This is viable but was discounted because trading would then require tri-party agreements (LBB, Simetrica Ltd, and Licensee), as opposed to a single agreement between a JV and potential licensee. Although, without the JV option, the Council could separately contract with Simetrica for the maintenance and upgrade services and then contract with the potential licensees direct. This would entail two agreements and Simetrica Ltd would not be party to the licence agreement. The JV option would provide a neater arrangement.

4. POST DECISION IMPLEMENTATION

- 4.1 The agreement with Simetrica Ltd will be to enter into a joint venture agreement, with the majority share in favour of London Borough of Barnet. LB Barnet is eligible for the majority share, as this was defined in the original contract agreement with Simetrica Ltd and LB Barnet retained the Intellectual Property Rights.
- 4.2 Licenses for other local authorities and private organisations will be negotiated and agreed on a case by case basis, renewable annually.

Agreement with external parties

- 4.3 **Local Authorities:** Under the 1970 Goods and Services Act, various public bodies can trade with each other,(see Appendix 1 for a comprehensive list) so no committee decision is required for public sector trading.
- 4.4 **Private Organisations:** To trade with private organisations LBB needs to enter into a Joint Venture model with Simetrica Ltd. Detailed assessment is underway and a decision will be made prior to issuing the first licence. The contract with Simetrica Ltd is to be a long-term agreement, to allow further software upgrades and product development.
- 4.5 As part of the agreement Simetrica Ltd will:
- Upgrade and produce an online version of the CBAT tool, the cost of which will be evenly shared between LBB and Simetrica Ltd.
 - Simetrica Ltd will provide regular maintenance of the software as well as quarterly upgrades as necessary.
 - Protect the intellectual property of the software.
 - Comply with the London Borough of Barnet's policies and regulations.
 - Pay any monies due to LB Barnet in a transparent, timely, fashion, and conduct their business activities in a fit and proper manner.
 - Conduct training sessions and quarterly forums, and any other activities LB Barnet may deem necessary for the successful licensing of the tool and management of it thereafter

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

5.1.1 Previous papers regarding the Community Asset Strategy include:

- **Asset Regeneration and Growth, 7th September 2015**
<https://barnetintranet.moderngov.co.uk/documents/s25562/Assets%20Regeneration%20and%20Growth%20Annual%20Performance%20Report.pdf>
- **Policy and Resourcing 28th June 2016**
<https://barnetintranet.moderngov.co.uk/documents/s32739/Community%20Benefit%20Assessment%20Tool.pdf>

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

5.2.1 Resources: One half time Community Asset Strategy Lead Officer (existing) and two days a month for Estates Client Lead (also existing). Once the licensing of the tool has commenced, we anticipate having a large number of external parties interested and therefore:

5.2.2 Support from Finance, Governance, and Insurance will be required, as will some time from LBB Head of Estates. Additional IT support, at some additional cost, may also be required should the tool become very successful. Any such additional costs would be met from licence income.

5.2.3 Income from the licensing of the tool to external parties will generate income on an annual, renewal basis from which LB Barnet will receive a majority share. Anticipated cumulative income is as follows:

Year 1: £5,000

Year 2: £10,000

Year 3: £15,000

5.2.4 Whilst the aim of the tool was to implement a fair and transparent community value assessment process, the ultimate goal of this initiative is to reach a point where the councils investment into the tool is repaid and a steady revenue stream is established. Based on the projections above, the payback point should be no longer than 7 years (2025).

5.3 Procurement

5.3.1 Procurement was undertaken to secure Simetrica Ltd as the successful provider to develop the CBAT software. Before proceeding, the procurement team will need to publish a notice stating that LBB will be extending its' business relationship with Simetrica Ltd.

5.3.2 The new agreement will provide excellent value for money as there is no cost to the council for procuring. Costs for administering the tool have also recently been reduced by employing the Community Business Case Coach and CBAT

Mentor in-house on a part time basis. Sufficient capacity remains to assist with marketing and licensing.

5.4 Legal and Constitutional References

5.4.1 The Council's Constitution – Article 7, paragraph 7.5, Responsibilities for Functions, details the responsibilities for Policy and Resource Committee including:

- To determine strategic policy, finance including recommending capital and revenue budget to full Council, welfare, corporate plan and local plans, procurement, partnerships, IT, grants and the effective use of resources
- To be responsible for those matters not specifically allocated to any other committee affecting the affairs of the Council.

5.4.2 Section 1 of the Local Authorities (Goods and Services) Act 1970 ('1970 Act') permits Local Authorities to enter into agreements to provide administrative, technical and professional services to other public authorities, this includes a number of sports, education, health and other organisations. The courts have confirmed that the 1970 Act empowers local authorities to trade with other public authorities for profit and not limited to cost recovery.

5.4.3 If the council wants to licence the CBAT tool to an organisation which falls outside of the bodies listed under 1970 Act and if they want to charge and make a profit they may only do so through a company otherwise they are limited to cost recovery pursuant to Section 93(3) of the Local Government Act 2003.

5.4.4 To trade commercially the Council needs a specific trading power or the Council will need to rely on a general one. The general powers to trade are:

- s.95 Local Government Act 2003
- s.4 Localism Act 2011

Both the s.95 and s.4 powers to trade require a company structure, whether in the form of a local authority trading company or a joint venture.

5.5 Risk Management

5.5.1 External parties may not buy the software of renew

- **CAUSE:** External parties having insufficient funds, a lack of interest, disagree with the LBB fee, or do not wish to renew.
- **EVENT :** External parties may decide against buying the software
- **EFFECT :** LBB does not generate income to recoup the investment
- **MITIGATION:** Market testing with three local authorities has already proven that there is strong interest in the tool. LBB will continue to market the tool using various methods available, such as our communications teams and property forums. Marketing presents an opportunity for LBB to recoup its investment in CBAT. LBB are willing to offer reduced renewal fees on a sliding scale based on the number of years the external party has already

licensed the tool as an incentive to renew.

5.5.2 **Another organisation may create a similar tool**

- **CAUSE:** Another organisation that could offer to the market similar software at a lesser price, or with differing functionalities.
- **EVENT :** This may mean that external parties prefer to not take a license from LBB.
- **EFFECT :** LBB Does not generate income to recoup the investment
- **MITIGATION:** LBB will need to remain open to negotiation on the fee, and is currently ensuring functionality is optimised by upgrading the software. LBB can ensure that external parties are satisfied with the functionality of the software by offering assistance, support, and tailoring the software to suit the requirements of the borough.

5.5.3 **Legal implications**

- **CAUSE :** The legal documentation may be protracted.
- **EVENT :** This may mean that external parties lose interest during the process
- **EFFECT:** LBB does not generate income to recoup the investment
- **MITIGATION:** LBB and HB Public Law have already produced drafts heads of terms so that we are prepared. LBB has proactively engaged in this preparatory work to ensure a timely and efficient process.

5.6 **Equalities and Diversity**

- 5.6.1 There are no identified equalities and diversity issues. The proposal is to secure a contractual arrangement to continue to provide an existing service to the public, that will enhance assistance to community groups across the country. The CBAT programme and tool applies to all groups, regardless of ethnicity, gender, or religion.

5.7 **Consultation and Engagement**

- 5.7.1 None

6. **BACKGROUND PAPERS**

- **Asset Regeneration and Growth, 7th September 2015**
<https://barnetintranet.moderngov.co.uk/documents/s25562/Assets%20Regeneration%20and%20Growth%20Annual%20Performance%20Report.pdf>
- **Policy and Resourcing 28th June 2016**
<https://barnetintranet.moderngov.co.uk/documents/s32739/Community%20Benefit%20Assessment%20Tool.pdf>

APPENDIX 1

List of Public Bodies under the Local Authorities (Goods and Services) Act 1970

by *Practical Law Public Sector*Practice notes | **Maintained** | England, Scotland, UK, Wales[List of Public Bodies designated by Acts under the Local Authorities \(Goods and Services\) Act 1970](#)[List of Public Bodies designated by Order under the Local Authorities \(Goods and Services\) Act 1970](#)

A list of Public Bodies under the Local Authorities (Goods and Services) Act 1970.

List of Public Bodies designated by Acts under the Local Authorities (Goods and Services) Act 1970

Section 89 of the Housing Act 1988	A housing action trust and an urban development corporation established by an order under section 135 of the Local Government, Planning and Land Act 1980, or a housing action trust and a Mayoral development corporation.
Schedule 1(20) to the Water Consolidation (Consequential Provisions) Act 1991	National Rivers Authority (which body was replaced in April 1996 by the Environment Agency)
Schedule 8(II)(71) to the Further and Higher Education Act 1992	Any institution within the further education sector or higher education sector
Schedule 8, para 5 to the Environment Act 1995	National Park Authority
Schedule 30 to the School Standards and Framework Act 1998	Education Action Forums
Schedule 7(II)(44) to the Criminal Justice and Court Services Act 2000	Local probation boards
Section 107 of the Housing (Scotland) Act 2001	Registered social landlords (Scotland)

Section 74 of the National Health Service Act 2006	Public bodies include NHS England, any clinical commissioning group (CCG) and special health authority.
Section 32 of the National Health Service (Wales) Act 2006	Local Health Boards and Welsh Ministers.
Section 15 of the Police Reform and Social Responsibility Act 2011	Elected local policing body

List of Public Bodies designated by Order under the Local Authorities (Goods and Services) Act 1970

See Statutory Instruments for details of scope and restrictions

The Local Authorities (Goods and Services) (Public Bodies) Order 1972 (SI 1972/853)	<p>PART I</p> <p>The Welsh Hospital Board.</p> <p>Homes and Communities Agency.</p> <p>The Lee Valley Regional Park Authority.</p> <p>The County Councils Association.</p> <p>The Association of Municipal Corporations.</p> <p>The London Boroughs Association.</p> <p>The Urban District Councils Association.</p> <p>The Rural District Councils Association.</p> <p>The Joint Advisory Committee on Local Authority Purchasing.</p> <p>The Local Government Training Board.</p> <p>The Local Authorities' Conditions of Service Advisory Board.</p> <p>The Local Authorities' Management Services and Computer Committee.</p> <p>The Women's Royal Voluntary Service.</p>
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	<p>The St. John Ambulance Association and Brigade.</p> <p>The British Red Cross Society.</p> <p>Age Concern.</p> <p>The National Citizens Advice Bureaux Council.</p> <p>The National Marriage Guidance Council.</p> <p>The Family Planning Association.</p> <p>The National Joint Council for Local Authorities Administrative Professional Technical and Clerical Services (including constituent Provincial Councils).</p> <p>The Joint Negotiating Committee for Justices' Clerks.</p> <p>The Joint Negotiating Committee for Justices' Clerks Assistants.</p> <p>The Joint Negotiating Committee for Approved Schools and Remand Homes in England and Wales.</p> <p>The Whitley Council for New Towns Staff.</p> <p>The National Joint Council for County Council Roadmen (including constituent Provincial Councils).</p> <p>The National Joint Council for Local Authorities (Manual Workers) (including constituent Provincial Councils).</p> <p>The National Joint Council for Workshops for the Blind.</p> <p>The Joint Negotiating Committee for Local Authorities Services (Building and Civil Engineering).</p> <p>The Joint Negotiating Committee for Local Authorities Services (Engineering Craftsmen).</p> <p>The National Joint Council for Local Authorities' Fire Brigades.</p> <p>The National Joint Council for Chief Officers of Local Authorities' Fire Brigades.</p> <p>The Joint Negotiating Committee for the Probation Service.</p> <p>The Police Council for the United Kingdom.</p> <p>The Joint Negotiating Committee for Clerks of County</p>
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	<p>Councils.</p> <p>The Joint Negotiating Committee for Town Clerks and District Council Clerks.</p> <p>The Joint Negotiating Committee for Chief Officers of Local Authorities.</p> <p>The Joint Negotiating Committee for Youth Leaders and Community Centre Wardens.</p> <p>The Joint Committee for Water Engineers Salaries.</p> <p>The Medical and (Hospital) Dental (Committee C, Public Health Service) Whitley Council for the Health Services (Great Britain).</p> <p>The Dental (Local Authorities) Whitley Council for the Health Services (Great Britain).</p> <p>The Association of Education Committees.</p> <p>PART II</p> <p>A Regional Hospital Board, Hospital Management Committee or Board of Governors of a teaching hospital.</p> <p>A voluntary hospital within the meaning of the National Health Service Act 1946.</p> <p>A society or individual receiving payments out of moneys provided by Parliament under section 96(1) of the Criminal Justice Act 1967.</p> <p>A managing committee of an approved probation hostel or home within the meaning of section 46(1) of the Criminal Justice Act 1948.</p> <p>A probation committee or after care committee constituted under section 45 of and Schedule 5 to the Criminal Justice Act 1948.</p> <p>A police committee or watch committee constituted in accordance with the provisions of section 2 of the Police Act 1964.</p> <p>A police authority for a combined area constituted in accordance with the provisions of section 3 of the Police Act 1964.</p> <p>A New Town Development Corporation.</p>
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	<p>An institution to which grants in aid of university education are paid out of moneys provided by Parliament.</p> <p>A local council of social service.</p> <p>A community relations council.</p> <p>A citizens' advice bureau.</p> <p>A local marriage guidance council.</p> <p>A community association.</p> <p>An old people's association.</p>
<p>The <i>Local Authorities (Goods and Services) (Public Bodies) Order 1975 (SI 1975/193)</i></p>	<p>ENGLAND</p> <p>NATIONAL BODIES OR BODIES RELATED TO A NATIONAL BODY</p> <p>The Association of Metropolitan Authorities.</p> <p>The Association of County Councils.</p> <p>The Association of District Councils.</p> <p>The Receiver for the Metropolitan Police District.</p> <p>A Magistrates' Court Committee.</p> <p>The Arts Council of Great Britain.</p> <p>The Welsh Arts Council.</p> <p>A Regional Arts Association.</p> <p>A Local Arts Council sponsored or grant aided by a local authority.</p> <p>The British Film Institute.</p> <p>The Sports Council.</p> <p>The Sports Council for Wales.</p> <p>A Regional Sports Council.</p> <p>The English Tourist Board.</p> <p>A Regional Tourist Board established by the English</p>

	<p>Tourist Board.</p> <p>A Passenger Transport Executive.</p> <p>The Royal Society for the Prevention of Accidents.</p> <p>The Council for Small Industries in Rural Areas.</p> <p>The Mid-Wales Industrial Development Association Development Committee.</p> <p>The Eastern Border Development Association Development Committee.</p> <p>The Lincolnshire Joint Development Committee.</p> <p>The West Midlands Development Committee.</p> <p>The Millom Development Committee.</p> <p>The English Industrial Estates Corporation.</p> <p>The Welsh Industrial Estates Corporation.</p> <p>The Whitley Council for the Staffs of Industrial Estates Corporations.</p> <p>The Joint Negotiating Committee for Chief Executives of Local Authorities.</p> <p>The Joint Negotiating Committee for Former Approved Schools and Remand Homes in England and Wales.</p> <p>The National Joint Council for Local Authorities' Services (Manual Workers) (including constituent Provincial Councils).</p> <p>The Committee on Salary Scales and Service Conditions of Inspectors, Organisers, and Advisory Officers of Local Education Authorities.</p> <p>EDUCATIONAL BODIES</p> <p>The managers, governors or other body responsible for the management of:</p> <p>(a) a voluntary aided or special agreement school;</p> <p>(b) a special school not maintained by a local authority;</p> <p>(c) a school or other educational establishment (including a college of education) in receipt of grant under section 100(1)(b) of the Education Act 1944;</p>
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	<p>within the meaning of the Education Acts of 1944, 1946, 1959, 1962, 1964, 1967, 1968 and 1971.</p> <p>The managers, governors, or other body responsible for the management of an independent school, or alternative provision Academy that is not an independent school, which operates otherwise than for profit.</p> <p>The proprietor of a 16 to 19 Academy.</p> <p>The managers, governors or other body responsible for the management of:</p> <p>(a) a residential college for adult education;</p> <p>(b) an establishment for the further education or training of disabled persons.</p> <p>The Workers' Educational Association and constituent branches.</p> <p>A Regional Advisory Council for Further Education.</p> <p>The Welsh Joint Education Committee.</p> <p>The Council of the Royal College of Art.</p> <p>The Cranfield Institute of Technology.</p> <p>A college of London University.</p> <p>The Wiltshire Rural Music School Ltd.</p> <p>The Wiltshire Drama Association.</p> <p>SOCIAL SERVICES BODIES</p> <p>The managers, governors, or other body responsible for the management of:</p> <p>(a) a nursery school;</p> <p>(b) a pre-school playgroup;</p> <p>(c) a hospital playgroup; which operates otherwise than for profit.</p> <p>The Pre-School Playgroups Association and constituent bodies.</p> <p>Mudiad Ysgolion Meithrin.</p>
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	<p>The managers of a voluntary home registered under the Children Act 1948.</p> <p>The managers of a controlled or assisted community home provided under the Children and Young Persons Act 1969.</p> <p>The managers of a home provided by a voluntary organisation operating otherwise than for profit, for the elderly, the physically or mentally handicapped, or unmarried mothers.</p> <p>The National Council of Social Service.</p> <p>The Council of Social Service for Wales.</p> <p>The National Association for Mental Health.</p> <p>The National Society for Mentally Handicapped Children.</p> <p>The Psychiatric Rehabilitation Association.</p> <p>The Mental After Care Association.</p> <p>The Samaritans.</p> <p>The Richmond Fellowship.</p> <p>The North, Western, and Southern Regional Associations for the Blind and constituent bodies.</p> <p>The Wales Council for the Blind and constituent bodies.</p> <p>St. Dunstan's for Men and Women Blinded on War Service.</p> <p>The Central Council for the Disabled and affiliated bodies.</p> <p>The Wales Council for the Disabled and affiliated bodies.</p> <p>The North, Midland, West and South-East Regional Associations for the Deaf.</p> <p>The Welsh Association for the Deaf.</p> <p>The Royal National Institute for the Deaf.</p> <p>The British Association of the Hard of Hearing.</p>
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	<p>The National Deaf Children's Society.</p> <p>The British Deaf Association.</p> <p>The management committee of a voluntary youth organisation affiliated to the National Council of Voluntary Youth Organisations.</p> <p>Trustees administering an Alms House Charity.</p> <p>A housing association registered under Part II of the Housing Act 1974.</p> <p>A Rural Community Council.</p> <p>A Village Hall Management Committee.</p> <p>The Soldiers' Sailors' and Airmen's Families Association.</p> <p>The National Federation of Women's Institutes and constituent branches.</p> <p>The National Union of Townswomen's Guilds and constituent branches.</p> <p>OTHER BODIES</p> <p>A society for the provision of smallholdings or allotments as mentioned in section 49 of the Smallholdings and Allotments Act 1908.</p> <p>Local trustees administering allotments. The Chiltern Mothercraft Training Society.</p> <p>WALES</p> <p>NATIONAL BODIES OR BODIES RELATED TO A NATIONAL BODY</p> <p>The Association of Metropolitan Authorities.</p> <p>The Association of County Councils.</p> <p>The Association of District Councils.</p> <p>The Receiver for the Metropolitan Police District.</p> <p>A Magistrates' Court Committee.</p> <p>The Arts Council of Great Britain.</p> <p>The Welsh Arts Council.</p>
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	<p>A Regional Arts Association.</p> <p>A Local Arts Council sponsored or grant aided by a local authority.</p> <p>The British Film Institute.</p> <p>The Sports Council.</p> <p>The Sports Council for Wales.</p> <p>A Regional Sports Council.</p> <p>The English Tourist Board.</p> <p>A Regional Tourist Board established by the English Tourist Board.</p> <p>A Passenger Transport Executive.</p> <p>The Royal Society for the Prevention of Accidents.</p> <p>The Council for Small Industries in Rural Areas.</p> <p>The Mid-Wales Industrial Development Association Development Committee.</p> <p>The Eastern Border Development Association Development Committee.</p> <p>The Lincolnshire Joint Development Committee.</p> <p>The West Midlands Development Committee.</p> <p>The Millom Development Committee.</p> <p>The English Industrial Estates Corporation.</p> <p>The Welsh Industrial Estates Corporation.</p> <p>The Whitley Council for the Staffs of Industrial Estates Corporations.</p> <p>The Joint Negotiating Committee for Chief Executives of Local Authorities.</p> <p>The Joint Negotiating Committee for Former Approved Schools and Remand Homes in England and Wales.</p> <p>The National Joint Council for Local Authorities' Services (Manual Workers) (including constituent Provincial Councils).</p>
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	<p>The Committee on Salary Scales and Service Conditions of Inspectors, Organisers, and Advisory Officers of Local Education Authorities.</p> <p>EDUCATIONAL BODIES</p> <p>The managers, governors or other body responsible for the management of:</p> <p>(a) a voluntary aided or special agreement school;</p> <p>(b) a special school not maintained by a local authority;</p> <p>(c) a school or other educational establishment (including a college of education) in receipt of grant under section 100(1)(b) of the Education Act 1944; within the meaning of the Education Acts of 1944, 1946, 1959, 1962, 1964, 1967, 1968 and 1971.</p> <p>The managers, governors, or other body responsible for the management of an independent school which operates otherwise than for profit.</p> <p>The managers, governors or other body responsible for the management of:</p> <p>(a) a residential college for adult education;</p> <p>(b) an establishment for the further education or training of disabled persons.</p> <p>The Workers' Educational Association and constituent branches.</p> <p>A Regional Advisory Council for Further Education.</p> <p>The Welsh Joint Education Committee.</p> <p>The Council of the Royal College of Art.</p> <p>The Cranfield Institute of Technology.</p> <p>A college of London University.</p> <p>The Wiltshire Rural Music School Ltd.</p> <p>The Wiltshire Drama Association.</p> <p>SOCIAL SERVICES BODIES</p> <p>The managers, governors, or other body responsible for the management of:</p>
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	<p>(a) a nursery school;</p> <p>(b) a pre-school playgroup;</p> <p>(c) a hospital playgroup;</p> <p>which operates otherwise than for profit.</p> <p>The Pre-School Playgroups Association and constituent bodies.</p> <p>Mudiad Ysgolion Meithrin.</p> <p>The managers of a voluntary home registered under the Children Act 1948.</p> <p>The managers of a controlled or assisted community home provided under the Children and Young Persons Act 1969.</p> <p>The managers of a home provided by a voluntary organisation operating otherwise than for profit, for the elderly, the physically or mentally handicapped, or unmarried mothers.</p> <p>The National Council of Social Service.</p> <p>The Council of Social Service for Wales.</p> <p>The National Association for Mental Health.</p> <p>The National Society for Mentally Handicapped Children.</p> <p>The Psychiatric Rehabilitation Association.</p> <p>The Mental After Care Association.</p> <p>The Samaritans.</p> <p>The Richmond Fellowship.</p> <p>The North, Western, and Southern Regional Associations for the Blind and constituent bodies.</p> <p>The Wales Council for the Blind and constituent bodies.</p> <p>St. Dunstan's for Men and Women Blinded on War Service.</p> <p>The Central Council for the Disabled and affiliated</p>
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	<p>bodies.</p> <p>The Wales Council for the Disabled and affiliated bodies.</p> <p>The North, Midland, West and South-East Regional Associations for the Deaf.</p> <p>The Welsh Association for the Deaf.</p> <p>The Royal National Institute for the Deaf.</p> <p>The British Association of the Hard of Hearing.</p> <p>The National Deaf Children's Society.</p> <p>The British Deaf Association.</p> <p>The management committee of a voluntary youth organisation affiliated to the National Council of Voluntary Youth Organisations.</p> <p>Trustees administering an Alms House Charity.</p> <p>A housing association registered under Part II of the Housing Act 1974.</p> <p>A Rural Community Council.</p> <p>A Village Hall Management Committee.</p> <p>The Soldiers' Sailors' and Airmen's Families Association.</p> <p>The National Federation of Women's Institutes and constituent branches.</p> <p>The National Union of Townswomen's Guilds and constituent branches.</p> <p>OTHER BODIES</p> <p>A society for the provision of smallholdings or allotments as mentioned in section 49 of the Smallholdings and Allotments Act 1908.</p> <p>Local trustees administering allotments.</p> <p>The Chiltern Mothercraft Training Society.</p>
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The <i>Local Authorities (Goods and Services) (Public</i>	Crown Agents for Overseas Governments and
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<i>Bodies) Order 1981 (SI 1981/1049)</i>	Administrations.
The <i>Local Authorities (Goods and Services) (Public Bodies) Order 1990 (SI 1990/433)</i>	The City Literary Institute. Medway Housing Society Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) Order 1992 (SI 1992/2830)</i>	Her Majesty's Chief Inspector of Schools in England. Her Majesty's Chief Inspector of Education and Training in Wales or Prif Arolygydd Ei Mawrhydi dros Addysg a Hyfforddiant yng Nghymru. Bethnal Green City Challenge Company Limited. Bradford City Challenge Limited. Deptford City Challenge Limited. Hulme Regeneration Limited. Nottingham City Challenge Partnership Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) Order 1993 (SI 1993/2097)</i>	Blackburn City Challenge Partnership Board. Bolton City Challenge Partnership Limited. Community North (Sunderland). Dalston City Partnership Limited. Derby Pride Limited. Harlesden City Challenge Limited. Hartlepool City Challenge Board. Hulme Community Homes (Manchester) Limited. Leicester City Challenge Limited. The Newcastle West End Partnership Limited. North Tyneside City Challenge Partnership Limited. Stratford Development Partnership Limited. Wolverhampton City Challenge.

The <i>Local Authorities (Goods and Services) (Public Bodies) Order 1994 (SI 1994/37)</i>	Development Board for Rural Wales. Welsh Development Agency.
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 2) Order 1994 (SI 1994/1389)</i>	Batley Action Limited. Brixton City Challenge Company Limited. Douglas Valley Partnership Limited. Newtown South Aston City Challenge Limited. North Kensington City Challenge Company Limited. Walsall City Challenge Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies)(Meat Hygiene) Order 1995 (SI 1995/2626)</i>	The Minister of Agriculture, Fisheries and Food in relation to England, and the Secretary of State in relation to Scotland and Wales to the extent that the functions exercised by those persons relate to inspections of meat for the purposes of hygiene or of animals for the purposes of welfare.
The <i>Local Authorities (Goods and Services) (Public Bodies) (Trunk Roads) Order 1996 (SI 1996/342)</i> As amended by the <i>Local Authorities (Goods and Services) (Public Bodies) (Trunk Roads) (Amendment) Order 1997 (SI 1997/849)</i>	The Secretary of State for Transport. The Secretary of State for Wales. A DBFO contractor, including a sub-contractor of such person. ("DBFO contract" means a contract between the Secretary of State for Transport or the Secretary of State for Wales and another person pursuant to which such other person undertakes responsibility for the design, building, financing and operation of a trunk road for an agreed period).
The <i>Local Authorities (Goods and Services) (Public Bodies) (Trunk Roads) (No. 2) Order 1996 (SI 1996/1814)</i>	The Secretary of State for Transport. The Secretary of State for Wales.
The <i>Local Authorities (Goods and Services) (Public Bodies) (The Julie Rose Stadium) Order 1996 (SI 1996/2534)</i>	The Julie Rose Stadium.

The <i>Local Authorities (Goods and Services) (Public Bodies)(Sports Councils) Order 1996 (SI 1996/3092)</i>	<p>The English Sports Council.</p> <p>The United Kingdom Sports Council.</p> <p>The Scottish Sports Council.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) Order 1997 (SI 1997/101)</i>	<p>Huddersfield Pride Limited.</p> <p>Routes to Work (Derby) Limited.</p> <p>Stainforth Development Limited.</p> <p>Sydenham SRB Trust.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (Trunk Roads) (No. 1) Order 1997 (SI 1997/204)</i>	<p>A management agent.</p> <p>A works contractor.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (Greater London Enterprise Limited) Order 1997 (SI 1997/809)</i>	<p>Greater London Enterprise Limited.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (Trunk Roads) (No. 2) Order 1997 (SI 1997/850)</i>	<p>The Secretary of State for Transport.</p> <p>The Secretary of State for Wales.</p> <p>A DBFO contractor.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (English Heritage) Order 1997 (SI 1997/1835)</i>	<p>The Historic Buildings and Monuments Commission for England.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 2) Order 1997 (SI 1997/2095)</i>	<p>Bedford Bereavement Care Limited.</p> <p>Wansbeck Energy Company Limited.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) Order 1998 (SI 1998/308)</i>	<p>Bedford (Cauldwell and Kingsbrook) Regeneration Partnership.</p> <p>Bedford (Queens Park) Partnership Limited.</p> <p>Dewsbury Partnership Limited.</p> <p>Into Work (Sunderland) Limited.</p>

	Ryedale Energy Conservation Group Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 2) Order 1998 (SI 1998/868)</i>	Further Education (London Region) Services ("FELORS").
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 3) Order 1998 (SI 1998/1123)</i>	Newham Healthcare Trust. Bristol Regeneration Partnership Limited. West Euston Partnership Limited. The Institute of Burial and Cremation Administration.
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 4) Order 1998 (SI 1998/1574)</i>	Community Initiative Partnerships. Hounslow Cultural and Community Services. Hounslow Sport and Recreation Services.
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 5) Order 1998 (SI 1998/2956)</i>	Breakthrough UK Limited. Bishop's Castle and District Lifeline Company Limited. Greater Nottingham Rapid Transit Limited. Manchester Care and Repair Limited. Thorney Close Action and Enterprise Centre. Twining Enterprise Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 6) Order 1998 (SI 1998/3095)</i>	London Luton Airport Operations Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 1) Order 1999 (SI 1999/421)</i>	Borough of Havant Sport and Leisure Trust.
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 2) Order 1999 (SI 1999/1754)</i>	The Academy of Youth Limited. Coronation Park at Launceston, Cornwall. The New Opportunities Fund. The Preston and Western Lancashire Racial Equality Council.

	Renaisi Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) Order 2000 (SI 2000/63)</i>	<p>Boston Volunteer Charity.</p> <p>Tees Valley Leisure Limited.</p> <p>West Cumbria Estates Management Limited.</p> <p>Commission for Local Administration in England.</p> <p>Manchester Commonwealth Games Limited.</p> <p>Manchester 2002 Limited.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (No. 2) Order 2000 (SI 2000/1027)</i>	<p>Edward Harvist's Charity.</p> <p>The Hines Trust.</p> <p>Mayor of Harrow's Charity Fund.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) Order 2001 (SI 2001/243)</i>	<p>A person with whom a local education authority has entered into a contract or other arrangement for the performance of functions on the authority's behalf pursuant to a direction made by the Secretary of State under section 497A(4) of the Education Act 1996.</p> <p>The School Development Support Agency.</p> <p>A City Technology College, City College for the Technology of the Arts or City Academy which has entered into an agreement with the Secretary of State pursuant to section 482 of the Education Act 1996.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) (No. 2) Order 2001 (SI 2001/691)</i>	<p>NewSchools (Cornwall) Limited.</p> <p>United Waste Services (South Gloucestershire) Limited.</p>
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) (No. 3) Order 2001 (SI 2001/1823)</i>	<p>Thurrock Community Leisure Limited.</p> <p>Care Plus Trust Limited.</p> <p>Paddington Development Trust.</p>
The <i>Local Authorities (Goods and Services) (Public</i>	Liverpool Direct Limited.

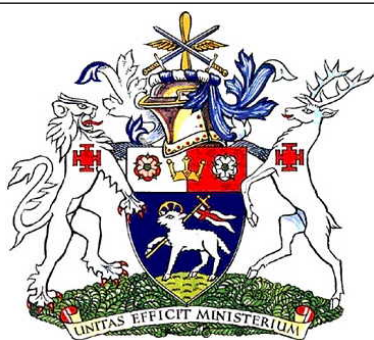
<i>Bodies) (England) (No. 4) Order 2001 (SI 2001/3347)</i>	Schools PBS Limited. Tynedale Housing Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) Order 2002 (SI 2002/522)</i>	A body set up by a local authority, in exercise of powers under section 2 of the Local Government Act 2000 or section 1 of the Localism Act 2011, to exercise management functions as agent of the local authority under an arrangement approved by the Secretary of State under section 27 of the Housing Act 1985.
The <i>Local Authorities (Goods and Services) (Public Bodies) (Wales) Order 2002 (SI 2002/1729)</i>	The National Assembly for Wales. The Care Council for Wales.
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) (No. 2) Order 2002 (SI 2002/2244)</i>	Kirklees Active Leisure.
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) (No. 3) Order 2002 (SI 2002/2624)</i>	Active Life Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) Order 2003 (SI 2003/354)</i>	Swaythling Parochial Church Council. York Museums and Gallery Trust. South Lakeland Leisure.
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) (No. 2) Order 2003 (SI 2003/1018)</i>	East Leake Schools Limited.
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) (No.3) Order 2003 (SI 2003/2069)</i>	Doncaster Dome Leisure Trust. Wigan Leisure and Culture Trust. Trafford Community Leisure Trust.
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) (No. 4) Order 2003 (SI 2003/2558)</i>	Yorkshire and Humberside Grid for Learning Foundation.
The <i>Local Authorities (Goods and Services)(Public Bodies)(England) Order 2004 (SI 2004/485)</i>	Pyramid Schools (Cornwall) Limited. Haden Building Management Limited.

The <i>Local Authorities (Goods and Services) (Public Bodies) (England) (No.2) Order 2004 (SI 2004/2475)</i>	District Surveyors Association Local Authority Building Control Advisory Services Limited ("LABCAS")
The <i>Local Authorities (Goods and Services) (Public Bodies) (Wales) Order 2004 (SI 2004/2878)</i>	PBS 2003 Limited.
The <i>Natural Resources Body for Wales (Establishment) Order 2012 (SI 2012/1903)</i>	Natural Resources Body for Wales
The <i>Local Authorities (Goods and Services) (Public Bodies) (England) Order 2014 (SI 2014/1197)</i>	<p>The National Probation Service.</p> <p>The Northumbria Community Rehabilitation Company Limited.</p> <p>The Cumbria and Lancashire Community Rehabilitation Company Limited.</p> <p>The Durham Tees Valley Community Rehabilitation Company Limited.</p> <p>The Humberside, Lincolnshire and North Yorkshire Community Rehabilitation Company Limited.</p> <p>The West Yorkshire Community Rehabilitation Company Limited.</p> <p>The Cheshire and Greater Manchester Community Rehabilitation Company.</p> <p>Limited The Merseyside Community Rehabilitation Company Limited.</p> <p>The South Yorkshire Community Rehabilitation Company Limited.</p> <p>The Staffordshire and West Midlands Community Rehabilitation Company Limited.</p> <p>The Derbyshire, Leicestershire, Nottinghamshire and Rutland Community Rehabilitation Company Limited.</p> <p>The Warwickshire and West Mercia Community Rehabilitation Company Limited.</p> <p>The Bristol, Gloucestershire, Somerset and Wiltshire Community Rehabilitation Company Limited.</p> <p>The Dorset, Devon and Cornwall Community</p>

	<p>Rehabilitation Company Limited.</p> <p>The Hampshire and Isle of Wight Community Rehabilitation Company Limited.</p> <p>The Thames Valley Community Rehabilitation Company Limited.</p> <p>The Bedfordshire, Northamptonshire, Cambridgeshire and Hertfordshire Community Rehabilitation Company Limited.</p> <p>The Norfolk and Suffolk Community Rehabilitation Company Limited.</p> <p>The Essex Community Rehabilitation Company Limited.</p> <p>The London Community Rehabilitation Company Limited.</p> <p>The Kent, Surrey and Sussex Community Rehabilitation Company Limited.</p>
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Policy and Resources Committee

11 June 2018

Title

**Implementation of IT Strategy:
Full business case for next phase of
implementation of Microsoft
SharePoint Online for document
management**

Report of

Councillor Richard Cornelius

Wards

All

Status

Public

Urgent

No

Key

No

Enclosures

Appendix A: Full Business Case

Officer Contact Details

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Summary

The Council is committed to providing its staff and service users with a flexible, collaborative working environment in line with modern working practices.

Collaboration is a central theme that runs right through the council's Corporate Plan. Collaboration between Officers, Members and Partners is a foundation stone to spearhead collaboration across the public sector and help us to achieve our ambitious aims for service improvement and cost saving. One key aspect of the council's Corporate Plan is to create new office accommodation in Colindale, which will create cost savings and support the council's commitment to the regeneration of the borough, and in particular the Colindale area. The council has already committed to "invest in new IT to enable staff to work more flexibly

across a range of locations; allowing them to be closer to the residents they work with”.¹

It is important to enable staff, Members and partners to access information when and where they need it (rather than being restricted to office locations), as well as recognising that they need to collaborate effectively (while not restricting this collaboration to physical proximity). Consequently, the provision of document sharing, collaboration and document management technology is critical for supporting the need of our users to work together without restriction. Information is a key asset for the Council, and the effective management and use of it is important for supporting Council decision making and providing information and data for use by our customers and partners.

In February 2017, Policy and Resources Committee approved the business case to implement a small-scale pilot of SharePoint Online as an Electronic Document Management (EDM) system. As the business case at appendix A sets out, this pilot has proved to be successful, and so it is now recommended that a next phase is commissioned for a further roll-out for c.300 users. This incremental roll-out is recommended both to reduce costs and to continue to prove the business benefits of implementation.

Selecting SharePoint allows the council to further capitalise on investment made in the Office 365 (O365) platform, as SharePoint Online is a core part of the Office 365 suite of products and therefore included in its licensing costs. SharePoint has become the standard EDM tool for many local government and central government organisations (including the UK Parliament), along with NHS trusts and within the private sector.

Recommendations

- 1. That the Committee approves this phase of implementation of Microsoft SharePoint Online technology at a capital cost of £276,000 and revenue costs of £25,000. This is a maximum cost that may reduce following the technical assurance of the proposal.**
- 2. That the Committee notes the intention to commission Leidos, the council’s contracted IT technical assurance partner, to scrutinise the technical proposals before funding is released or contracts are signed.**
- 3. That the Committee delegates authority to the Deputy Chief Executive, in consultation with the Chairman of Policy and Resources Committee, to enter into contracts and take all other necessary actions to implement the recommendations of this report.**

1. WHY THIS REPORT IS NEEDED

¹ London Borough of Barnet, Corporate Plan 2015-2020, p.9 <https://barnet.gov.uk/citizen-home/search.html?keywords=corporate+plan>

- 1.1 The Council is committed to providing its staff and service users with a flexible, collaborative working environment in line with modern working practices. Collaboration is a central theme that runs right through the council's Corporate Plan. Collaboration between Officers, Members and Partners is a foundation stone to spearhead collaboration across the public sector and help us to achieve our ambitious aims for service improvement and cost saving. One key aspect of the council's Corporate Plan is to create new office accommodation in Colindale, which will create cost savings and support the council's commitment to the regeneration of the borough, and in particular the Colindale area. The council has already committed to "invest in new IT to enable staff to work more flexibly across a range of locations; allowing them to be closer to the residents they work with".²
- 1.2 The 'Way we Work' Programme has been set up to deliver these commitments and the programme's vision is to: 'Work with our partners in the heart of our communities to serve our residents and support our Members and staff'. It is focused on these key objectives:
- To develop flexible and attractive accommodation that enables staff to work where they are best placed to do their job effectively;
 - To ensure staff and Members have the right tools to work effectively in, and out of, the office;
 - To develop a fully flexible, empowered and agile workforce which is better able to meet the needs of our customers; and
 - To streamline our processes to maximise agile working benefits.
- 1.3 The introduction of modern, fit for purpose technology is a key component of this programme, enabling up to date business practices to be realised to support the more flexible working approaches emphasised by this move.
- 1.4 It is important to enable staff, Members and partners to access information when and where they need it (rather than being restricted to office locations), as well as recognising that they need to collaborate effectively (while not restricting this collaboration to physical proximity). Consequently, the provision of document sharing, collaboration and document management technology is critical for supporting the need of our users to work together without restriction. Information is a key asset for the Council, and the effective management and use of it is important for supporting Council decision making and providing information and data for use by our customers and partners.
- 1.5 In February 2017, Policy and Resources Committee approved the business case to implement a small-scale pilot of SharePoint Online as an Electronic Document Management (EDM) system. As the business case at appendix A sets out, this pilot has proved to be successful, and so it is now recommended that a next phase is commissioned for a further roll-out for c.300 users. This incremental roll-out is recommended both to reduce costs and to continue to prove the business benefits of implementation.

² London Borough of Barnet, Corporate Plan 2015-2020, p.9 <https://barnet.gov.uk/citizen-home/search.html?keywords=corporate+plan>

2. ELECTRONIC DOCUMENT MANAGEMENT (EDM)

Introduction

- 2.1 An EDM is a system designed to store and organise electronic and digitised information and enables Council services to manage documents throughout their lifecycle automatically, from creation to secure destruction.
- 2.2 An EDM is generally part of a modern day working environment, and reference visits to a number of Councils as well as private sector organisations (including a legal firm and a bank) indicate that it is not a new approach to introduce this technology, more a sensible, modern approach to support flexible working and expected by people entering the job market.
- 2.3 Microsoft SharePoint is a leading EDM on the market. Selecting SharePoint allows the council to further capitalise on investment made in the Office 365 (O365) platform, as SharePoint Online is a core part of the Office 365 suite of products and therefore included in its licensing costs.
- 2.4 SharePoint has become the standard EDM tool for many local government and central government organisation (including the UK Parliament), along with NHS trusts and within the private sector. Local government organisations who have rolled out SharePoint (or who are in the process of implementing it) are: the London Borough of Camden; London Borough of Merton; London Borough of Bromley; London Borough of Enfield; and the London Borough of Islington.

Results from the pilot implementation of Microsoft SharePoint

- 2.5 The objective of running a small-scale pilot as opposed to proceeding directly to a full role out was to prove the concept of the proposed technical solution and to also identify any perceived deficiencies and risks prior to a fuller roll-out. The following teams were rolled-out onto SharePoint: Adults Care Quality and Business Improvement; Communications; Governance; Information Management and Special Educational Needs.
- 2.6 The pilot proved to be very successful for Special Educational Needs and Information Management, with an Assistant Director for Education and Skills making the following comment:

The implementation of SharePoint is business critical for the SEN team. In order for staff to work in an electronic environment we need SharePoint as our recognised EDMS. Without SharePoint additional storage space will be required at Colindale to store the physical paper files we currently have on site here at the North London Business Park. This is because the files are accessed daily. Files that do not require immediate access are already stored offsite however, E&S are the biggest user across the Council, of the recall service provided by Stor A File the offsite storage provider. E&S staff are currently benefiting from the SharePoint pilot by being able to work remotely and from home. Should a full role out not go ahead, many E&S staff would need to work from the Colindale office on most days. Without SharePoint, the physical files would need to be access controlled as the proposed location in Colindale is in

the basement boiler room, the person with access control would need to be someone in the team.

- 2.7 And an FOI Officer in the Information Management Team writing the following case study:

SharePoint makes locating, updating and sharing information easier. Using SharePoint, I am able to track changes and version control updates with colleagues within the team. Colleagues can work together in real time editing the document together to make the necessary changes, for example when compiling the Senior Commissioning Board (SCB) report or policies. No longer are there multiple copies of different versions of the same document being sent around as attachments, links to one document in SharePoint are sent, so changes are made in one place, collaboration is auditable and documented with agreed changes locked down so all the end users of the policy will see and use is a final version of the document.

Where I need to store documents that arise from a routine task, for example I prepare a weekly and monthly reports of FOI performance, I am able to locate the place to save the document more easily as my personal view shows the folders I regularly access. I can also allow the document to inherit metadata controls from earlier documents saving me time and make the documents easier to find for others searching SharePoint, making them accessible to all at all times.

- 2.8 The pilot was also successful for the Adults Care Quality and Business Improvement Team with good feedback received, albeit it is clear that the file plan structure needs amending from the current functional structure to a more team structure to make saving more intuitive. The project team had difficulties in promoting adoption with the Communications Team, making a lesson learned for further roll-out in ensuring that there is management buy-in and commitment to change from managers for that area. While the Governance Team were keen to adopt SharePoint, the usefulness of it was minimised by the lack of integration to the Modern.Gov software. This shows that while it is useful for general document management for this area, it does not provide a synched process for Governance purposes.

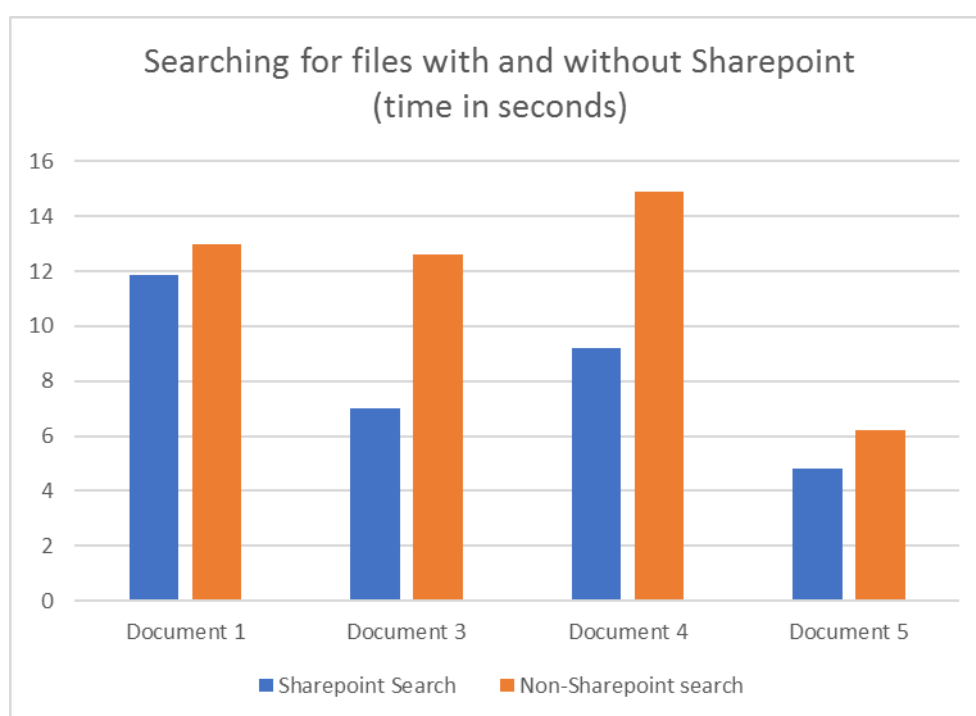
The next phase of SharePoint implementation

- 2.9 The business case recommends a phased approach to further roll-out of SharePoint within the council, which is a cost effective, agile and resilient approach. This phase focuses only on service areas and their respective teams that are currently working under 'document management stress' – these are further teams in Adults and Communities, teams in the Commissioning Group, further teams in Education and Skills and teams within Family Services. This

means that we are implementing SharePoint where teams have demonstrated a business need to work better in a digital environment.

Benefits

- 2.10 The main benefits of implementing an EDM is the reduction in time spent searching for information, and the reduction in storage costs.
- 2.11 According to a McKinsey report, “staff spend 1.8 hours every day (9.3 hours per week on average) searching and gathering information”³. Given the size of the Council, this suggests a substantial waste of effort which could be spent otherwise better supporting our residents and businesses.
- 2.12 The metrics from the SharePoint pilot indicate that staff spend less time searching for information on SharePoint than on shared drives. This example has been provided by Special Educational Needs who undertook an exercise to illustrate the average time taken to search for documents stored on SharePoint compared to searching for documents on the shared drive:



- 2.13 In addition, duplicated and redundant information existing on shared and personal drives takes up an increasing amount of server space and significantly increases the search time to find information. The amount of storage held in the Council shared drives is currently 21 Terabytes. Information shared by a Council of similar size to Barnet suggests that removing duplicated and redundant data could result in potential annual cost savings of c.£150k.

³ . <http://utrconf.com/top-3-reasons-why-we-spend-so-much-time-searching-for-information/>

Reducing the use of paper could result in potential annual cost savings of c.£70k.

2.14 Other key benefits for implementing an EDM system which also support the full business case for the office move to Colindale, and in particular the reduction in overall office space, include:

- Provide a collaboration platform to support the easier sharing of documents across the organisation and its partners.
- Support office-based and remote access to information and knowledge from their desktops or mobile device which will be seamless to the user.
- Support automated workflows to ensure streamlined transactions and efficient service delivery.
- Deliver the scalability needed to support the Council's 2000 employees when we move to Colindale.
- Provide the flexibility to integrate with new enabling technologies and existing business systems over time.
- Utilise space more effectively rather than using it for physical documents.
- Reduction in consumables including reducing printers, copiers, copier paper, printer, stationary and toner.
- Physical security of information is improved as there is less of a requirement to print confidential documents as they will be securely stored in the EDM system and will be centrally available to authorised individuals. This will make documents securely available remotely and reduce the need for paper documents to be transported where they could be at risk of loss or unauthorised access.
- Enabling the Council to become a "paper-light" organisation - high retrievers of paper records stored off site will deliver a more reliable, efficient service based on reliable records and evidence-based decision-making and scanning physical records at the point of retrieval into EDM system. Enquiries from the public will take less time and be resolved in fewer contact sessions.
- Electronic documents will be automatically managed throughout their entire lifecycle. This means from the point of creation, to draft, to publishing and finally archived in accordance with LBB Information Retention Schedule or deleted.

Implementation approach

2.15 In a time of stretched public finances, it is recognised that committing capital investment and ongoing revenue into a system such as EDM can be difficult. However, by not implementing an EDM system we will continue with the inefficiencies already in place and we will not support our aims to be a modern employer, supporting modern working practices and realising the benefits of moving to Colindale.

2.16 The saving in efficiency (staff time) and storage are real, and this business case supports the wider cost savings established in the main Colindale business case. However, recognising stretched council finances, the business case

recommends a phased approach to further roll-out of SharePoint within the council, which is a cost effective, agile and resilient approach. This phase focuses only on service areas and their respective teams that are currently working under 'document management stress' – these are further teams in Adults and Communities, teams in the Commissioning Group, further teams in Education and Skills and teams within Family Services, making a total of 300 further users in total. This means that we are implementing SharePoint where teams have demonstrated a business need to work better in a digital environment.

2.17 The proposed timescales for this phase are as follows:

Milestone	Date
Full Business Case to P&R	11/06/18
Roll-out team confirmed	31/07/18
Roll-out phase starts	31/07/18
Roll-out phase concludes	31/03/19

Costs

2.18 The costs set out in the business case are for an implementation for up to 300 users (building on the pilot implementation of 102 users). A further tender exercise is not required, as CSG support will continue to be utilised (under schedule 15 of the CSG contract) and the necessary Records Management support to implement the product will be supplied through the Council's Information Management Team.

2.19 The capital cost to undertake this phase of SharePoint implementation for up to 300 users over a period of 12 months will not exceed £276,000 and includes:

SharePoint Phase Implementation	Costs
IT implementation costs (capital)	£153,000
1 x Project Manager, 1 x Records Officer, 1 x SharePoint Developer (capital)	£123,000
IT support costs (revenue)	£25,000
Total Phase Implementation Costs (capital)	£276,000
Total Phase Support Costs (revenue)	£25,000

2.20 The revenue costs create a pressure, which can be managed through the application of retention and disposal on the council's home drives, shared drives and off-site storage of paper records. The reduction in cost this financial year will at least meet these increased revenue costs to net these off.

- 2.21 There are low cost EDM products on the market which are free to use (such as Drop Box), but these services are designed largely for personal use rather than corporate use. Furthermore, there are concerns about the security and resilience offered by these free services. In addition, a product such as Microsoft SharePoint, while offered as part of the Microsoft licensing we will have in place through the Smarter Working technology tools, requires configuration to make it fit for purpose. Out of the box and un-configured, it is a system which looks very different to how our staff operate at present in their shared drives set-ups and would be un-controlled and un-managed. Even though SharePoint may therefore be seen as a “free” product, there is configuration (and therefore cost) needed to make sure it is a system that successfully supports the needs of an organisation.

Members

- 2.22 It is not planned to include Members within this phase of SharePoint implementation; however discussions will be held with the Members about their requirements and whether a move to EDM is appropriate for them, and the timescales for doing so that would best fit their needs.

3. TRAINING AND SUPPORT

- 3.1 The Information Management Team has been restructured to focus on the introduction and ongoing use of SharePoint, consequently, on a day to day operational basis the administration of SharePoint will be one of the core responsibilities of the Records Management function. The Records Manager and Records Management Officer will have full responsibility for the system from an administrative perspective, including the production of management information, monitoring compliance against the corporate retention schedules, identifying user training weaknesses, including monitoring of user adoption and overall governance of the platform.
- 3.2 Training will be provided by the Information Management Team to those users rolling out onto the system. This training will be based by team and targeted to that team’s need. Refresh training will also be provided according to requirements after a period of use.

4. REASONS FOR RECOMMENDATIONS

- 4.1 The recommended option to proceed with the next phase of implementation of SharePoint Online recommends the most value for money option and one which considers the most benefits.

5. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 5.1 Consideration was given to not continuing with the next phase of SharePoint implementation in the Council. While this would save capital and revenue resource for the organisation, it does not realise further benefits of our investment in Office 365, nor realises the wider benefit of implementing a document management system. Consideration was also given with proceeding with a full implementation of SharePoint across the whole organisation; however, this was discounted due to cost and being contrary to an agile approach and it would be difficult to prove the benefits of this at this stage as not every member of staff has an operational requirement or business need for SharePoint for their core role.

6. POST DECISION IMPLEMENTATION

- 6.1 Should the business case be approved by Members, the implementation costs will be further scrutinised by the Council's third-party technical assurance partner, Leidos. On the proviso that the proposal passes technical assurance, this phase of SharePoint implementation will commence.

7. IMPLICATIONS OF DECISION

7.1 Corporate Priorities and Performance

- 7.2 A key aspect of the Council's Corporate Plan is to create new office accommodation in Colindale, which will create cost savings and support the Council's commitment to the regeneration of the borough, and in particular the Colindale area. The Corporate Plan 2015-2020 includes the commitment to "invest in new IT to enable staff to work more flexibly across a range of locations; allowing them to be closed to the residents they work with"⁴.

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

- 7.4 A capital budget of £9.1m has been allocated for the implementation of the ICT Strategy. The authority to spend significant sums of this budget must be bid for through approval of individual business cases by Policy and Resources Committee – this business case is for this approval.
- 7.5 This proposal recommends allocating £276,000 from the capital IT strategy budget to the next phase of SharePoint.
- 7.6 There is an on-going revenue requirement of £25,000 per year for SharePoint support. The revenue costs create a pressure, which can be managed through the application of retention and disposal on the council's home drives, shared drives and off-site storage of paper records. The reduction in cost this financial year will at least meet these increased revenue costs to net these off.

7.7 Social Value

- 7.8 N/A

⁴ London Borough of Barnet, Accommodation Office Options Review – Final Business Case
<https://barnet.moderngov.co.uk/jelListDocuments.aspx?CId=696&MID=8881>

7.9 Legal and Constitutional References

7.10 No specific legal issues have been identified.

7.11 The Council's Constitution (Responsibility for Functions, Annex A) states that the Policy and Resources Committee has the following responsibility:

(1) "To be responsible for the overall strategic direction of the Council including the following specific functions/activities:

...

- Information Technology provision"

7.12 Risk Management

The main risks associated with procuring an EDMS solution are summarised in the table below:

Ref No	Description	Cause, Event & Consequence	Mitigation	Risk Score (up to 20)
1	Insufficient storage capacity affects performance	Cause: Insufficient storage capacity available for corporate roll out level. Event: The system may reach capacity as more service areas use EDMS. Consequence(s): Performance is affected.	Liaise with Technical Infrastructure team to review capacity and monitor storage availability as project progresses.	12
6	Insufficient budget	Cause: The project has a set budget to work with. Event: The scope increases in an uncontrolled manner Consequence(s): Budget may not be sufficient to deliver all objectives.	Close monitoring of budget and highlight to programme board any concerns. Scope will need to be locked down pre contract signature stage	12
7	Insufficient communications	Cause: Lack of availability or priority Event: Insufficient communications coming out from Change Manager Consequence(s): People not sufficiently aware of the changes and resist changing	Monitor delivery against communications plan	12

7.13 Equalities and Diversity

7.14 No direct adverse impact has been identified through the initial SharePoint pilot.

SharePoint affects internal working practices to improve the management of information at Barnet and provides users with tools that encourage collaboration and information sharing. There is a positive impact of these projects. Disabled or staff with health conditions will be able to work more flexibly and not have to attend offices for meetings. There are also potential benefits for parents and carers who may be able to work more flexibly at home or other locations.

7.15 An assessment has been carried out on any staff impact of these and we anticipate there will be no impact for the reasons listed below because:

- All staff who will be affected by SharePoint are already working in digitally included ways and selection criteria will be included for new recruits.
- All staff and new recruits will receive training in SharePoint and any particular individual needs will be identified and addressed as part of that programme.
- We will be working with any staff and new recruits who have a disability which requires an adjustment with regard to new technology. Some of these will already be known to managers and some may only become apparent as the new technology is deployed. Any further adjustment required as a result of SharePoint will be accommodated through the management of change process and is dependent on the wider the Way We Work Programme.

7.16 The equality impact assessment will be kept under review as the project develops.

7.17 **Consultation and Engagement**

7.18 N/A

8. **Insight**

8.1 N/A

9. **BACKGROUND PAPERS**

9.1 [Assets, Regeneration and Growth Committee, 11 July 2016, Accommodation Office Options Review - Final Business Case](#)

9.2 [Policy and Resources Committee, 5 October 2016, ICT Strategy](#)

9.3 [Policy and Resources Committee, 23 February 2017, Implementation of IT Strategy: Full Business Case for Implementation of Microsoft Smarter Working Tools and a Pilot of Electronic Document Management Technology](#)

The Way We Work Programme – Full Business Case for the implementation of Microsoft SharePoint, Electronic Document Management System (EDMS).

Author: Author: Jenny Obee, Head of IT and Information Management; Jane Proffitt, SharePoint EDMS Project Manager

Date: June 2018

Service / Dept: Commissioning Group, Resources, Information Management

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2 Executive Summary

2.1 Background – The Move to Colindale

Because of the impending move to Colindale in 2018/2019, the Council is committed to providing its staff, Members and partners with a flexible, collaborative working environment in line with modern government working practices. Collaboration is a central theme that runs right through the Council's corporate plan. Collaboration between officers, Members and partners is the foundation stone to lead collaboration across the public sector and by doing so helping us to achieve our ambitions and aims for service improvement and cost savings.

One key aspect of the Council's corporate plan is the development of the new building in Colindale which will realise significant cost savings and support the Council's commitment towards the regeneration of the borough, and the Colindale area. The Council has already started to "invest in new IT to enable staff to work more flexibly across a range of locations; allowing them to be closer to the residents they with"¹.

The 'Way We Work' (TW3) Programme has been set up to deliver these commitments with a vision to "work with our partners in the heart of our communities to serve residents and support our Members and staff" It is focused on these key objectives:

- To develop flexible and attractive accommodation that enables staff to work where they are best placed to do their job effectively;
- To ensure staff and Members have the right tools to work effectively in and out of the office;
- To develop a fully flexible, empowered and agile workforce, that is better able to meet the needs of our customers; and
- To streamline our processes to maximise agile working benefits.

Staff moves into new office accommodation at Colindale are on schedule for 2018/19 and the TW3 programme includes several technical enablers that are currently being implemented prior to the moves which will ensure that staff and Members are able to work effectively from different locations in line with the Councils locality strategy².

SharePoint, Electronic Document Management System Pilot (EDMS)

In February 2017 funding was approved to the value of £250,000 by the Policy & Resources Committee (P&R) to conduct an Electronic Document Management System (EDMS) Pilot that would run for a period of four months³.

The objective of running a small-scale pilot as opposed to proceeding directly to a full roll out was to prove the concept of the proposed technical solution and identify any deficiencies or risks

¹ London Borough of Barnet, Corporate Plan 2015-2020, p9

² London Borough of Barnet, Locality Strategy

<http://barnet.moderngov.co.uk/documents/s33204/ARG%20committee%20report%20-%20Locality%20Strategy.pdf>

³ London Borough of Barnet, Policy and Resources Committee, 23 February 2017

<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=8733&Ver=4>

prior to committing significant costs and resources to a full implementation.

The pilot consisted of 5 teams which were as follows: Information Management, Adults Care Quality, Adults Business Improvement, Special Educational Needs, Communications and Governance, with circa 103 people participating.

Definition of SharePoint EDMS

Document management software provides solutions for data processing, maintenance of document integrity throughout the entire information lifecycle, deletion of multiple versions, access management, quick retrieval process, document retention, maintaining complex repositories, indexing and annotation of documents. Essential features of document management software include compatibility, scalability, ease of use, communication, versioning, mobile device integration, backup, sharing and collaboration and security.

Currently documents are stored on shared drives and various repositories and are not effectively managed or shared between teams and partners apart from the five teams who participated on the pilot. The typical type of issues that staff are likely to deal with everyday are:

- The need to search across numerous repositories;
- Difficulties in searching for information due to lack of standardised naming conventions and structured file plans;
- Difficulties in sharing and working on documents with different team's due to working in different repositories;
- Lack of version control leads to multiple versions and no 'true' record;
- No audit trail of who worked on the document or amendments made;
- Project Management
- Duplicate copies of the same version including multiple drafts;

In figure 1. below are several key benefits already being utilised using SharePoint that remove some of the issues outlined above.

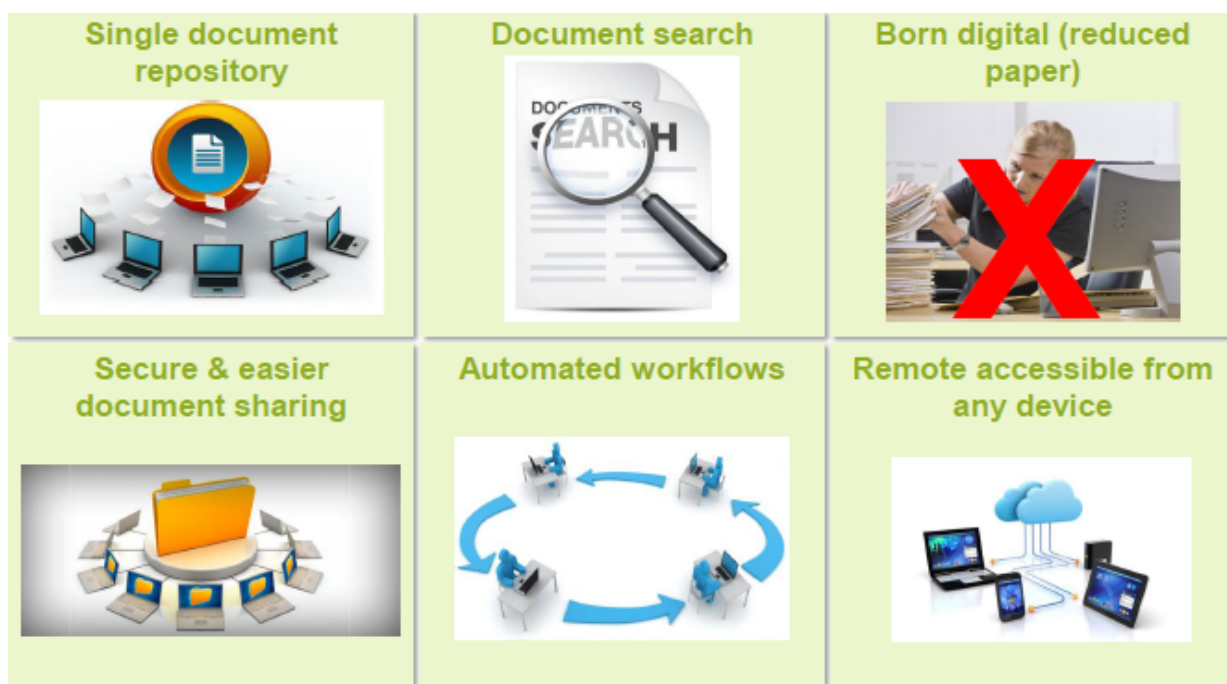


Figure 1. Key business benefits

The Information Management Team has been restructured to focus on the introduction and ongoing use of SharePoint, consequently, on a day to day operational basis the administration of SharePoint will be one of the core responsibilities of the Records Management function.

The Records Manager will have full responsibility for the system from an administrative perspective. Some of which will encompass the production of management information, monitor compliance against the corporate retention schedules, identify user training weaknesses, including monitoring of user adoption and overall governance of the platform.

EDMS Procurement Exercise – for the pilot

The procurement exercise took place between June – August 2017 and was managed by the Council's IT business partner Customer Support Group (CSG) using Schedule 15 of the CSG contract. CSG also procured the technical solution as it needed to be closely aligned to the Council's overall IT architecture which is also managed by CSG IT.

There were four potential bidders invited to tender for the technical solution and their products were as follows: Microsoft SharePoint, Alfresco, Objective and Box for Business. Microsoft SharePoint, Alfresco and Objective were shortlisted and therefore continued through to the next stage of the procurement process.

Following a thorough adjudication process Microsoft SharePoint was selected as the Council's EDMS platform. This decision was not solely based on costs, it was also based on SharePoint being a recognised market leader for collaboration and sharing platforms, which is the central theme running right through the Council's corporate plan. SharePoint delivers content services

as the foundational content for Office 365, which is also another technical enabler that is currently being implemented across the Council. Selecting SharePoint allows us to save money through the Council's investment in the O365 platform as SharePoint online (SPO) is a core part of the Office 365 suite of products. Furthermore, SharePoint has become the standard EDMS tool for organisations such as central government, local authorities and NHS Trusts and many private sector organisations as an integrated collaborative tool and included in Microsoft licensing. Councils who have implemented (or who are currently implementing) SharePoint for document management to date are: London Borough of Camden, London Borough of Merton, London Borough of Bromley, London Borough of Enfield, London Borough of Islington, Thurrock Council, Woking Borough Council, Oxfordshire County Council, Somerset County Council, Cumbria Council, Cheshire East Council, Flintshire CBC, Gwynedd CBC, Cardiff City Council, Scottish Borders Council, City of Edinburgh Council, Christchurch & East Dorset Councils, Test Valley Borough Council and Winchester City Council as well as Parliamentary Digital Services.

The technical environment we currently work in has improved significantly with the corporate roll out of O365, regarding improved telephony, the use of Skype for Business, Presence and Instant messenger. Despite this new technology and without a corporate EDMS the technology can only be improved to a small degree. The time spent by staff searching shared drives or to retrieve information in paper format from our off - site storage incurring additional costs year on year will remain indefinitely if the Council do not invest in a corporate EDMS – SharePoint online. Productivity and efficiency will not be achieved if this investment is not approved.

The cost of the pilot which concluded at the end of April 2018 came £4,000 under budget. The teams participating on the pilot, except for the Governance team have benefited from SharePoint by saving considerable time when searching for information and being able to share and collaborate on documents to great effect. Although Governance may not have benefited from SharePoint as much as it was first anticipated the SharePoint project team are continuing to work very closely with the team, including Modern Gov. (Modern Gov is a portal that most of the Governance team work in). The end goal is to link Modern Gov to SharePoint to enhance their current working practises and to also ensure they get the best possible use out of SharePoint.

EDMS procurement exercise – post-pilot

The outcome of the pilot indicates that SharePoint is the right product for the Council. Consequently, this business case requests funding (as laid out below) for the next stage of an incremental roll-out. A further tender exercise is not required, as CSG support will continue to be utilised (under schedule 15 of the CSG contract) and the necessary Records Management support to implement the product will be supplied through the Council's Information Management Team.

EDMS Pilot Survey

An EDMS survey was conducted at the end of the pilot. In summary, the objective of the survey was to assess the impact of SharePoint on End Users. There were many questions and some

extremely valuable learning from the survey which has helped shape our implementation plan. An example extracted from the survey in figure 2 illustrated below suggests overall that the filing structure has improved making it easier for people to search and file in a more efficient way.

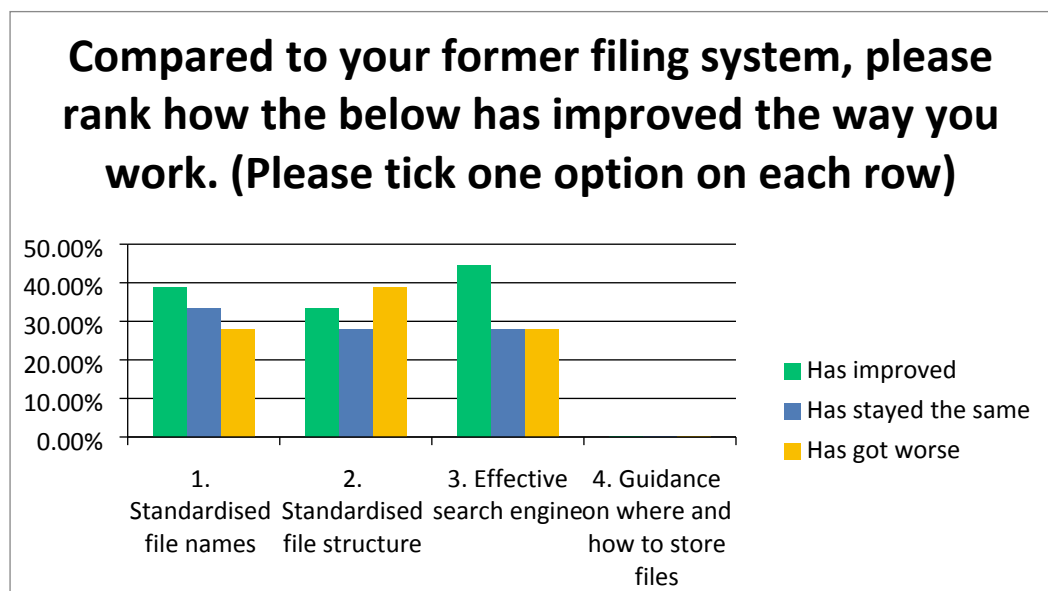


Figure 2 File System Improvements

A learning point from the above relating to the second bar cluster in the diagram above is that the pilot users felt that the file plan was too complex to navigate. We have since used their feedback to ensure for the full implementation the file plan is improved for ease of use. This demonstrates the value of having a pilot and the associated feedback.

This business case discusses the options, recommendations and costs for a targeted and phased approach to implement SharePoint to approximately 1900 End Users during 2018 – 2020. It is strongly recommended that an incremental approach is adopted. This means the roll out will commence with teams that are currently working under “Document Stress” (paper heavy processes) and would, therefore, benefit from becoming an early adopter of SharePoint EDMS.

These teams are likely to be part of the first implementation tranche and would comprise of the following teams: **Family Services** - Performance Improvement and Inspection, Adoption and Post Permanence; **Adults and Communities** - Learning Disabilities; **Commissioning** – Community Safety, Chief Executive Office, Finance; and **Cambridge Education** – Educational Psychology and Specialist Inclusion Services, should funding be approved for this business case within this current financial year 2018-2019.

Through adopting an incremental approach means the roll out will scale up year on year but it also means much less of an investment is required up front in Year 1. The costs are illustrated in figure 6 of this document.

2.2 Options and Recommendations

The issues summarised in the section above entitled “Definition of SharePoint EDMS” describe

how staff time and effort spent searching for information could be better utilised more effectively on their core activities, and which ultimately incur unnecessary increased storage and retrieval costs year on year. Taking also into account not just the hard copy paper costs but also time spent on searching for information stored on the existing shared drives.

Following the outcome of the pilot there are four options to address this which are illustrated in Figure 3 below

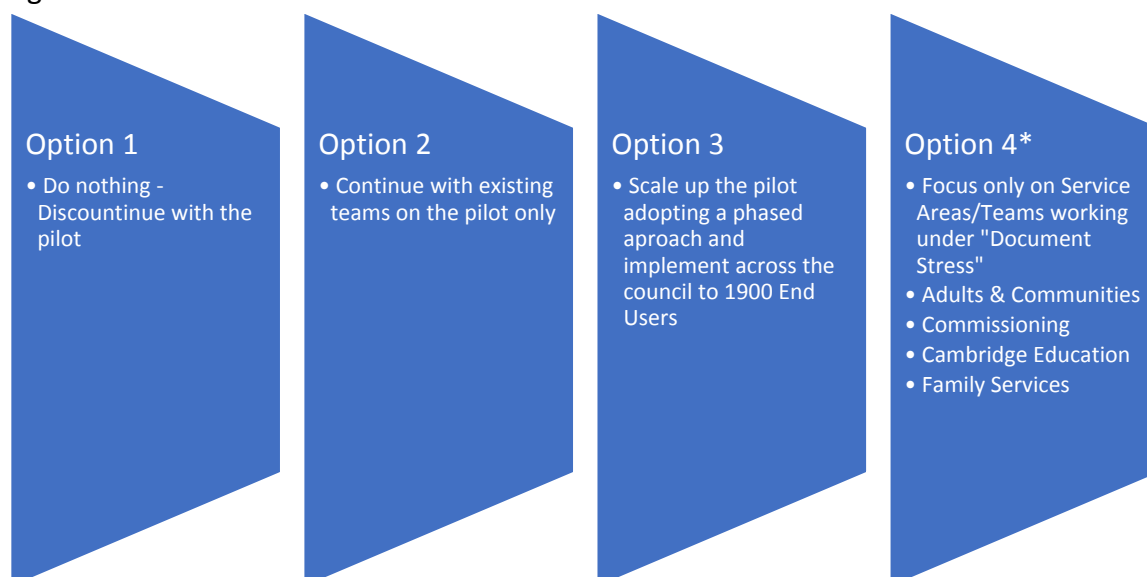


Figure 3 Options and Recommendations

To successfully achieve the desired benefits of the TW3 programme option 4* is therefore recommended. This means we would only look to implement SharePoint EDMS to service areas where there is a "Critical" business need. This would streamline their day to day business activities by storing, managing, collaborating and sharing information more effectively with staff, Members and partners enabling them to free up time to spend on their vital areas of responsibility i.e. their core work. Providing staff with the appropriate tools to carry out their day to day business functions more effectively, providing them with access to:

- Full collaboration and information sharing across their delivery unit/service area including external partners
- Significantly improved document and information security
- Greater efficiency
- Version control
- Improved search capability
- Increased productivity

Furthermore, the SharePoint EDMS pilot identified there is not currently enough front-line benefits to roll out SharePoint EDMS to back office functions, so typically these areas such as Family Services, Social Care would be excluded until at least the assessment of phase 5 which is the "Integration of other Council systems Inc. integrating SPO with LBB intranet, Synergy, Mosaic, Electronic signatures, Shared Drive Migration".

These will all lead to greater efficiency, improved security and decreased storage costs. SharePoint functionality is all “Out of the Box” which we are not intending to extend beyond the existing pilot functionality unless there is a valid business reason to do so that would benefit the entire Council.

2.3 *Recommended Implementation Approach*

The recommended implementation approach for SharePoint is as follows:

Phase 0: A small scale pilot was conducted during Dec – April which consisted of circa 103 staff and has since concluded.

Phases 1 – 4: Consists of 4 tranches - Roll out SharePoint adopting an incremental approach to delivery teams currently working under document stress and then assess the delivery unit teams that were not included in tranches 1-4 and who did not initially have a requirement for SharePoint but may have later, i.e. post tranche 6 (c.300 users).

Phase 5: Following the roll out of the 4 tranches whereby an incremental approach will be applied phase 5 will assess the appetite for SharePoint EDMS across the remainder of the delivery units/teams.

Phase 6: Integration of other Council systems including integration of LBB Intranet and front-line system applications such as Mosaic, Synergy, Liquid Logic, electronic signatures and migration of the shared drives.

This business case is therefore asking for funding to implement SharePoint EDMS, adopting an incremental approach for Phases 1 - 4 within this current financial year 2018-2019. This means by adopting this approach will result in a much lesser investment for the initial outlay. It will also avoid implementing SharePoint EDMS where there is neither a business or operational requirement, moreover to delivery units providing front line services using back office systems. It also provides the project team will sufficient time to assess the business needs and appetite for delivery unit teams who may have a requirement to migrate to SharePoint later post phase 5 and the move to Colindale.

Figure 4 below illustrates a high level incremental approach.

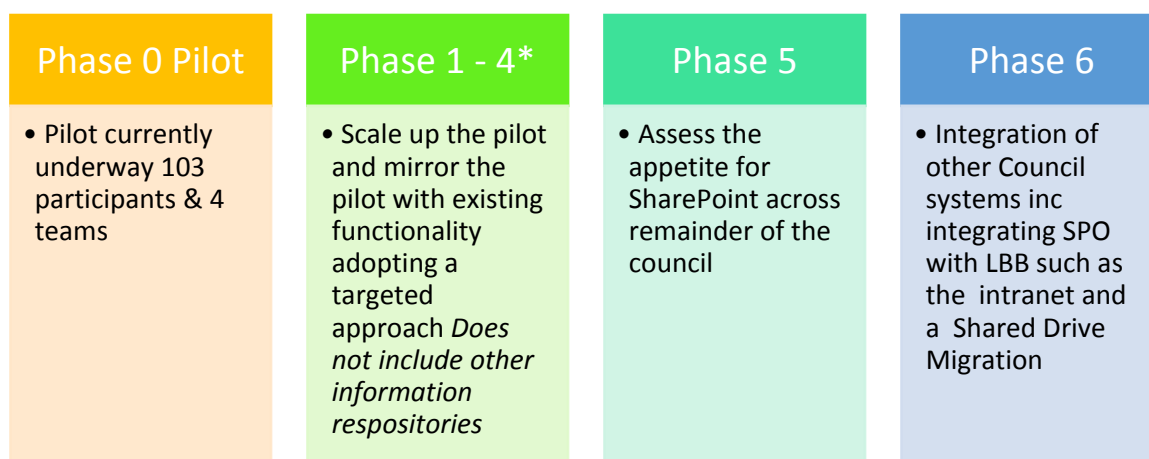


Figure 4 Phased Incremental Approaches

A high – level incremental implementation plan across 4 delivery units is illustrated below in figure 6. This considers a roll out of circa 300 staff by the end of this current financial year.

Phases 1 - 4

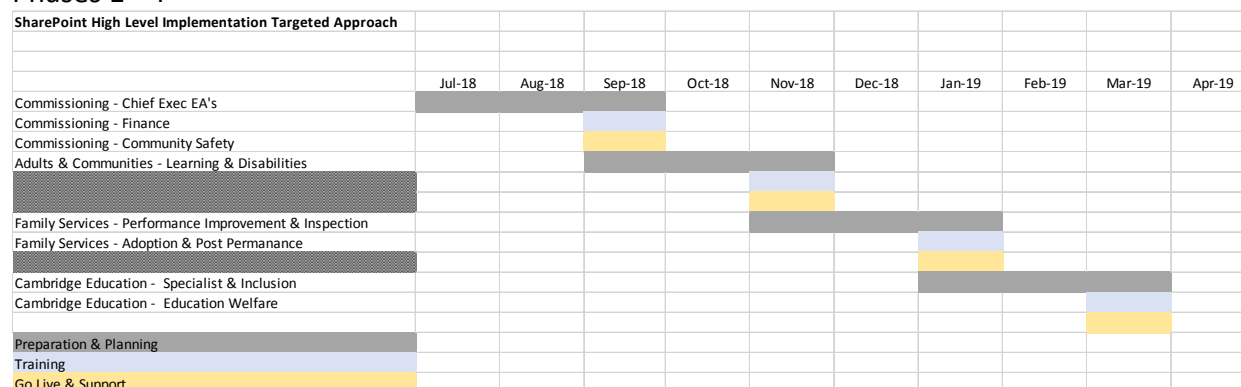


Diagram 5: High Level Incremental Implementation Approach

Benefits

Implementing SharePoint will enable the Council to realise the benefits and will therefore overtime touch all London Borough of Barnet (LBB) staff and partners. It will undoubtedly be a cultural change and this is something we have already started to see with the SharePoint pilot in terms of how staff can now work differently and flexibly.

Elimination of network drives, personal drives and the familiar silos of information will be changing the method of information capture and use that staff are used to. Successful delivery will ensure that LBB's integrity and reputation is safeguarded as compliance to public accessibility legislation increases and will also include:

- The Council becoming an 'agile working' organisation

- Staff and Members can work in a more mobile and flexible manner and are less reliant on their offices, but remain connected with their teams and able to access the information they need to carry out their work more efficiently
- Shared drives migrated across to EDMS enable sharing and collaboration of information to be utilised to maximum potential to drive efficient consistent and reliable business processes
- Information is secure and reliable, reduces the risk of duplication and has only one version of the truth.
- Information is easily accessible and less time incurred searching for records – for business decision making, statutory compliance and legal cases
- Partnership and sharing platforms are made accessible through a variety of channels, enabling multiple objectives from the council's corporate plan
- Working in a paper-light environment will reduce cost of paper, reduce physical storage costs and improve ability to access more documents remotely and quicker
- Virtual and on-site teams will no longer hoard or rely on storing information on shared or personal drives or emailing unsecured attachments, or saving documents and records in random files on computer hard drives.
- Across the Council there are so many team members working on a variety of projects, the benefit of having SharePoint will enable them to communicate with one another in real time.

While communicating over email still serves the Council, it is important to adopt strategies and tools that allow both group communication and one-on-one conversations to function across an entire project, so they can keep track of all the data which will be stored securely and managed within one central repository.

The implementation of an EDMS is a pre-requisite for ensuring that the Colindale move is a success. Without the full suite of collaboration and smarter working tools of which SharePoint is an integral component the key benefits of the Colindale move will not be achieved. The costs below are only for an implementation of early adopters to SharePoint. We will assess the appetite for a full roll out following completion of this first phase. This is because we do not know the appetite across the Council for a full roll out at this stage it would therefore be prudent of us not to assume a full roll out is required, consequently avoiding an unnecessary capital spend when money can be better invested in the Council's front line services.

The cost to undertake this 1st phase of the SharePoint EDMS implementation for up to 300 users over a period of 12 months will not exceed a capital spend of £276,000 see figure 6 below. The revenue costs create a pressure, which can be managed through the application of retention and disposal on the council's home drives, shared drives and off-site storage of paper records. The reduction in cost this financial year will at least meet these increased revenue costs to net these off.

SharePoint Phase Implementation

Costs

SharePoint Phase Implementation	Costs
IT implementation costs (capital)	£153,000
Project Manager, Records Officer, SharePoint Developer (capital)	£123,000
IT support costs (revenue)	£25,000
Total Phase Implementation Costs (capital)	£276,000
Total Phase Support Costs (revenue)	£25,000

Figure 6. Implementation Costs for Option 4 – Circa 300 end users.

Phase 1 will commence in July 2018 and will be fully completed by March 2019. This business case is only asking for funding for Phase 1 which consists of circa 300 people and will be completed by the end of March 2019. Separate business cases will be developed for the additional phases as we approach them, for the remaining staff Members and partners circa 1550.

The proposed timescales for this phase are as follows:

SPO Implementation	Key Dates
Full Business Case to P&R	11th June
System Development & Testing	July - Aug
Preparation and Planning with teams	July – March 2019
Training	Sep – March 2019
Phase 1 x 4 tranches On -boarding	Sep – March 2019
Assessment of phase 5	April 2019
Lessons Learnt	April 2019
Project Closure for Phase 1	April 2019

Figure 7 High Level Phased Implementation

3 Introduction

- 3.1 Achieving the maximum from the modern workforce requires modern technology and support to provide an agile and flexible approach to business practise. We as a Council can make significant improvements in the way we serve our customers and residents by introducing new modern technology into the workplace to help us to achieve this. It is important that we enable staff, Members and partners to access information instantly whenever they need it and from wherever they are located, as well as recognising that staff, Members and partners need to collaborate effectively regardless of their physical proximity. The Council's vision for 2020 states that we must "reduce bureaucracy and improving efficiencies, with increased collaboration driving innovation in the way services are designed and delivered". Consequently, the provision of being able to collaborate and share information is critical for supporting the needs of our staff, Members and partners through consistent access to all the information required to support their respective operation.
- 3.2 Information is an increasingly recognised vital strategic business asset for the London Borough of Barnet (LBB) as documented in the Councils Information Management Strategy 2016-2020. Effective management and use of and re-use of information is important for supporting LBB decision making and providing and data for use by our customer and partners.
- 3.3 "Colindale offices will be our main office base, but we will be able to work in a variety of settings to be closer to the residents that they support and to work securely, safely and effectively. For many staff, this means less need to come into the office to work. Staff will be supported through better technology, training and equipment. That means whether they work from a team area, hot desk, home or in a client's home, officers will have access to the systems and information they need".
- 3.4 These objectives have been translated into the Technology Workstream of the 'Way We Work Programme and comprise of the following technical enablers; SharePoint Online (SPO), O365 (Microsoft 365) and IT Accessories. These projects feed into the wider programme which also includes the Colindale build (the build of the Councils new offices situated at Colindale and implementation of the Locality Strategy.
- 3.5 The overall objective of SharePoint is to enable smarter working within the Council in a way that encourages staff, Members and partners to engage, rather than dictates that they do so; providing a collaborative platform which will provide multiple channels of communication to be used simultaneously.
- 3.6 SharePoint will deliver significant benefits to the Council. This includes: efficient management of access to information significantly reducing administrative time spent searching for information, creating single sources of data so the Council can view information with confidence knowing that it is the latest version and that it also represents combined input and allowing more flexible working by removing the need to access physical

files. In addition, there are also benefits to residents including faster response times by the Council, any conversations with the Council will involve all the relevant information. Finally benefits to Members include access to information that is consistent and rapidly accessible and the ability to see information across their area of responsibility – all collected together in one repository.

- 3.7 The human benefits of being able to work each day, communicating collaboratively across the organisation throughout the day, searching for and sharing documents intuitively and efficiently, and interacting with staff, Members and partners in a variety of different ways should be instinctively obvious.

4 Background to the EDMS Pilot

- 4.1 Following the move to Colindale there will be a reduced ratio of desks to staff, which will be achievable because of changes we make to how often staff, Members and partners need to come in to the office. This means that more users will be working remotely and will require access to systems and information instantly and seamlessly. Without the right technical platforms such as O365 and SharePoint (which is also part of the O365 suite) working remotely will be somewhat extremely challenging to achieve.
- 4.2 The Council does not currently have a corporate wide EDMS solution for securely managing and sharing the information we create. However last year the Policy and Resources Committee approved funding to conduct a small scale EDMS pilot (circa 103 people). The pilot was to enable the Council to not only manage the risk of the proposed technical solution but to also identify any perceived deficiencies before committing to a significant investment by fully implementing the chosen solution. Microsoft SharePoint was selected following a procurement exercise conducted by CSG and following the technical development of the platform, UAT and Training the pilot went live in December 2017.
- 4.3 The pilot ran for a period of four months during Jan – April. By scaling up the roll out of SharePoint as the Council have done with O365 these communication, sharing and collaboration tools will contribute to a maximum return on the overall investment made to the move to Colindale. These new ways of working are all technical enablers and therefore a prerequisite for the move to Colindale at the end of this year (2018). The Council has already committed to “invest in new IT to enable staff and Members including partners to work more flexibly across a range of locations; allowing them to be closer to the residents they work with”⁴

⁴ Locality Strategy, June 2016, p4

- 4.4 Fully implementing SharePoint aligns with the corporate plan 2015-2020, including the Councils Information Management, ICT, Customer Access and Locality strategies.
- 4.5 The technical environment we currently work in has improved significantly with the corporate roll out of O365, regarding improved telephony, the use of Skype for Business, Presence and Instant messenger. Despite this new technology and without a corporate EDMS the technology can only be improved to a degree. The time spent by staff searching shared drives or to retrieve information in paper format from our off - site storage incurring additional costs year on year will remain indefinitely if the Council do not invest in a corporate EDMS – SharePoint online. Productivity and efficiency will not be achieved if this investment is not approved.

5 Purpose

- 5.1 The project in this business case is to procure Microsoft SharePoint as the Councils corporate EDMS platform. The previous business case was to ask for funding to conduct an EDMS pilot. Following the successful pilot which ran for 4 months and concluded in April 2018 SharePoint enables Staff, Members and partners to securely store electronic documents, enables users to share and collaborate the information the Council generate and allows them to work more flexibly. SharePoint is an industry leading platform for intranets, secure document management and collaboration.
- 5.2 All new technology involves changing the way people work and because this project forms part of the wider project “The Way We Work” it brings with it major change for all staff, Members and partners. A Change manager had been appointed to provide support to all staff both during the implementation phases. Post implementation will become the responsibility of our IT Partner Customer Support Group (CSG).
- 5.3 The Information Management Team has been restructured to focus on the introduction and on-going use of SharePoint, consequently, on a day to day operational basis the administration of SharePoint will be one of the core responsibilities of the Records Management function.
- 5.4 The Records Manager will have full responsibility for the system from an administrative perspective. Some of which will encompass the production of management information, monitor compliance against the corporate retention schedules, identify user training weaknesses, including monitoring of user adoption and overall governance of the platform.
- 5.5 Full deployment of SharePoint with the right structure, functionality, ease of search, accessibility and governance will significantly reduce the amount of administrative time staff spend searching for records, as given in diagram 17 of this document. Furthermore, because SharePoint is also part of the O365 suite currently being deployed across the Council all this technology is transforming the way staff work by enabling them to provide a more flexible and responsive service to residents.
- 5.6 SharePoint allows the production of quality information to staff, Members and partners at

the right time, in the right format and provides the platform to manage automation of business processes to establish a central, secure repository for key business information. Electronic records underpin much of the modern government agenda whereby the Council are expected to be making progress in and at the same time embracing new technologies.

- 5.7 SharePoint in the Records Management profession is known as a leading intranet and content management system that is used for internal purposes to assist with bringing an organisation together for intranets, secure document management, sharing and collaboration.
- 5.8 SharePoint if fully deployed across the Council, initially to teams working in “Document Stress” will manage all electronic documentation throughout its lifecycle from creation to secure destruction or transfer if legally required. Fundamentally SharePoint as with all other EDMS platforms is a place for evidential record of all activities, decisions, processes, procedures, operations, proper conduct, projects, rights and obligations and transactions, irrespective of whether these related to internal or external functions.
- 5.9 SharePoint was selected for the pilot and in doing so following the outcome of the pilot and the anticipated benefits achieved when it is fully implemented, this will result in our staff, Members and partners being equipped to work in a more agile, flexible, digital and secure environment. Because SharePoint is part of the O365 integration (Microsoft Suite) with the right suite of tools and collaboration platform, the overall expected business benefits will be realised.
- 5.10 SharePoint will clearly align with the Council’s values to ‘work together (as it will facilitate easier and collaborative working), be trusted (as it will enable security and compliance, and ‘embrace change and innovation’ (as it will provide a modern tool for managing Council information which will also enhance working towards ensuring digital continuity).
- 5.11 The high-level requirements that were agreed for the SharePoint EDMS pilot are illustrated in figure 8 below.

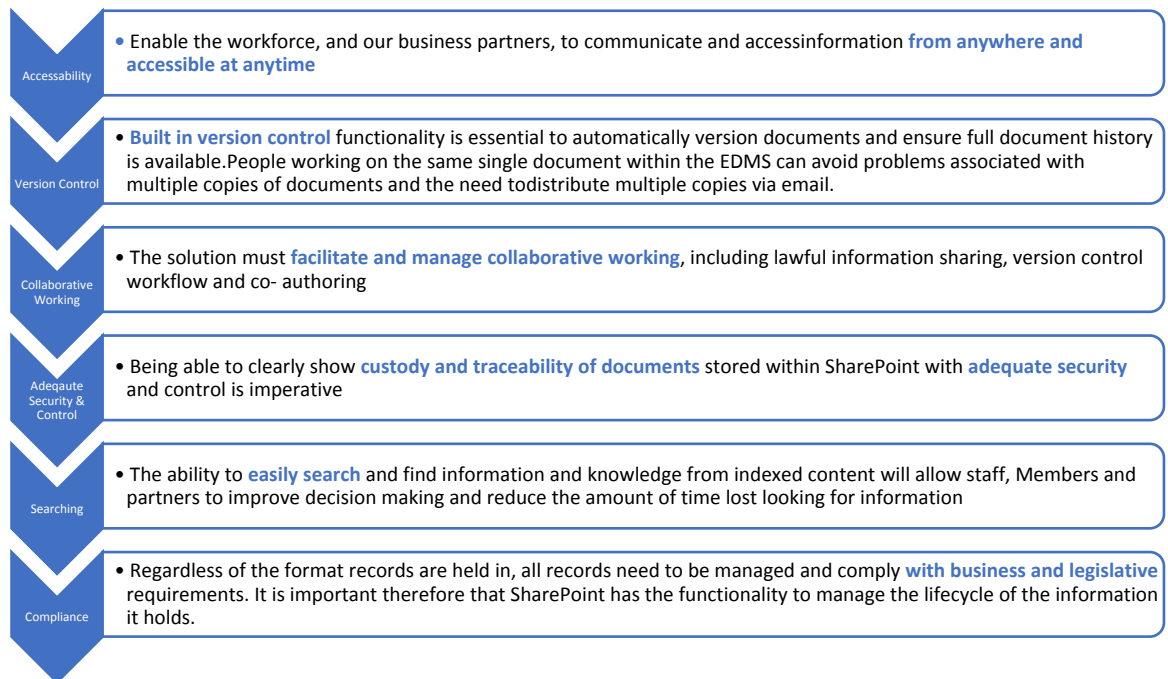


Figure 8 High Level Business Requirements

5.11 The diagram in figure 9 below illustrates the lifecycle of the information flow in SharePoint



Figure 9 Information Cycle

6 Aims and Objectives

6.1 Overall the TW3 Technology projects are anticipated to contribute to the medium term financial saving challenge of achieving savings of £81.1m between 2016 and 2020. SharePoint and Smarter Working tools such as O365, Skype for Business etc are essential modernisation measures and key technical enablers that will complement the drive for greater efficiency, benefit business service areas, raise standards and further improve good records management practise overall.

6.2 Figure 10 below illustrates the project outcomes that SharePoint will achieve



Figure 10 Project Outcomes

6.3 SharePoint and other Smarter Working tools are all sophisticated technology tools but they will not deliver business transformation programmes alone. These must be supported by a change in culture and working practises such as:

- A Flexibility First Approach” is the norm rather than the exception
- Simplified collaboration and connectivity virtually everywhere means sharing information and working with other regardless of location
- Work takes place at the most effective times, respecting the needs of the task, the customer, the individual and the team
- Managing performance focuses on results and outcomes rather than presence.

7 SharePoint EDMS Business Requirements

- 7.1 A business analyst was recruited in to collate the business requirements for an EDMS and to also determine user expectations for the new product. The requirements were collated in the form of a series of workshops with the respective teams that had been selected for the pilot. The requirements needed to be quantifiable, relevant and detailed.
- 7.2 The information captured was used to feed into the initial pilot business case but also formed part of the overall procurement/tender process, prior to the award of the contract to Automated Intelligence to conduct the pilot.
- 7.3 Following the business requirements workshops, the Records Manager and EDMS Project Manager conducted a series of workshops with each of the pilot teams. Line managers were asked to nominate a representative(s) from each of their teams, otherwise known as “Power Users” to help develop their file plans and to also enable Automated Intelligence to build the file plans in preparation for the pilot to go live.
- 7.4 The time taken to develop the file plans varied in terms of the number of iterations required to ensure that they were fit for purpose for the pilot.
Between 3-8 iterations of the file plans were required depending on their complexity which was determined by the type of business function and activity the teams were responsible for carrying out. The file plans were therefore built on the understanding that additional rework may need to be carried out during the pilot as part of the lessons learnt process.

8 Pilot Scope

- 8.1 The objective of running a small-scale pilot as opposed to proceeding directly to a full role out was to prove the concept of the proposed technical solution and to also identify any perceived deficiencies and risks prior to committing significant costs and resources to a full implementation.
- 8.2 There were several factors that contributed to the delay of the pilot starting and these were fundamentally associated with O365 accounts and network/infrastructure also being a dependency on the pilot. To add to these and due to unforeseen circumstances on the implementation partner the training was disrupted and had to be re-scheduled. The pilot finally got underway in January rather than its original start date of September 2017.
- 8.3 The scope of the pilot was as follows.
- 8.4 *The goals of implementing the EDMS initially as a pilot were to:*
 - Demonstrate how EDMS can successfully be used in LBB
 - Demonstrate and provide confidence that the planned business benefits identified in the pilot business case

- The pilot will enable the project to review and refine design decisions such as file plans, security permissions, site owners etc

8.5 Stakeholders

- Policy and Resources Committee
- Head of each pilot delivery unit
- Pilot Users
- EDMS project team
- CSG IT
-

8.6 Communications

It was important to ensure the EDMS pilot communicated to the identified Stakeholders and other LBB staff. Communications were within the TW3 Communications framework. It was also equally important that the pilot was not lost in the larger scheme of things given the size of the TW3 wider programme.

The EDMS project manager was the lead for all communications relating to the EDMS pilot throughout its entire duration.

8.7 SharePoint Core Functionality for the Pilot Only

- 8.8 The core functionality of SharePoint EDMS that was agreed to be trialled throughout the pilot was selected from a comprehensive set of business requirements that were captured from SharePoint workshops at the beginning of the pilot. Due to budget restraints, it was not possible to incorporate the full set of business requirements into the pilot, due to time and costs therefore it was agreed the core functionality would comprise of the following for the pilot only.

Basic Document Management Functionality

- Adding, editing and updating documents (version control)
- Adding a document from MS Office
- Adding an email from MS Outlook
- Sharing & collaboration
- Scanning to EDMS

NB: Initially designing a simple workflow was also going to be included in the pilot; however, during the business requirements gathering workshops the requirement for a simple workflow to be designed had not been identified. This was removed as at the time there appeared to be no requirement to develop a workflow

Basic Records Management Functionality

- Setting and managing retention policies

System Administration

- Setting up Users (permissions, groups etc.)
- Document types, metadata design etc.
- Set up and manage file plan
- Audit Functionality

8.9 Teams participating on the pilot

8.10 Teams participating on the pilot consisted of a combination of teams working in a paper heavy environment or teams who expressed an interest in becoming part of the pilot. The teams, including the number of staff participating are illustrated in figure 11 below.

8.11 CSG IT Admin team took part in the pilot which enabled them to familiarise themselves with SharePoint and to also enable them to provide 1st line technical support for the implementation tranches should this business case be approved.

Team Name	Number of Participants	Date On - Boarded
Information Management Team	13	December 2017
Governance	10	December 2017
Special Educational Needs	28	December 2017
Capita Admin	4	December 2017
Adults, Care Quality & Business Improvement	29	January 2018
Communications	19	January 2018
Total Number of Participants	103	

Diagram 11 Pilot Teams

9 Training

9.1 SharePoint training was delivered by our pilot implementation partner. Prior to the “Go Live” date each team member participating on the pilot was invited to an End User classroom training session, except for the CSG IT Admin team who were required to undertake Power User and admin training. This was because they already had a high level of PC skills, whereby End User training was assessed at being too basic for a technical admin team to have to undertake.

9.2 Due to unforeseen issues arising from the O365 licenses being activated in time for the End User training sessions, (which were not realised until the day of the training and resulted in End Users not being able to activate their accounts and log into SharePoint EDMS) in addition to the login issues there was also network performance issues encountered. A decision was therefore agreed to postpone the training until Capita IT resolved the issues.

9.3 The training resumed four weeks later, which impacted on the pilot “Go Live” date. However, because a small amount of contingency had been built into the pilot at the outset this meant there was minimal risk to the outcome of the pilot.

- 9.4 When the End User training re-commenced it was with a new trainer whom the project team were unfamiliar with. By doing so a new set of issues were encountered, these were largely associated with the trainer's delivery approach. It was felt the trainer focused heavily on the technical elements of the product rather than the basic "out of the box" SharePoint functionality. The SharePoint EDMS project manager escalated the concerns which resulted in the training being postponed for a second time and a new trainer allocated.
- 9.5 A blend of training materials was used as well as a "hands on" classroom approach. These included training videos, quick reference guides and training manuals for the three different levels of training that was required, i.e. End Users learning how to use the basic functionality of SharePoint this included adding documents, creating documents, editing documents and sharing documents. Power Users are people who have additional admin rights (non-technical) who can control permission/security settings, create lists, approve items, add and customise certain pages including training new members of the team as and when they are recruited in. CSG IT Admin users are trained on providing first line technical support to all users of SharePoint.
- 9.6 The second part of the training was targeted specifically at Power Users that had been nominated by each of the team's line managers.
- 9.7 At the time this business case was authored there were 19 Power Users who were invited to undertake Power User training, including 3 CSG IT Admin staff.
- 9.8 A summary of the training schedule is illustrated in diagrams 12 – 15 below.

DECEMBER						
S	M	T	W	T	F	S
	27	28	29	30	1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						
JANUARY						
S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31	28	29	30
31						

KEY

Training Delivery Days

Xmas/ New Year break

On-boarding/Support

KEY

- Training Delivery Days
- Xmas/ New Year break
- On-boarding/Support

Diagram 12: Scheduled Days

December 2017 - Training Dates for Pilot Teams				
	Thursday		Friday	
	14th December		15th December	
	9.30 - 12.30	13.30 - 16.30	9.30 - 12.30	13.30 - 16.30
	3 hours	3 hours	3 hours	3 hours
IMT	End Users x 8 Power Users x 6 Total - 13			
SEN		End Users x 12 Power Users x 2 Total - 14		End Users x 12 Power Users x 2 Total - 14
Governance			End Users x 8 Power Users x 2 Total - 8	

Diagram 13: Training Schedule

	Monday		Tuesday		Wednesday	
	8th January		9th January		10th January	
	9.30 - 12.30	14.00 - 16.00	9.30 - 12.30	14.00 - 16.00	9.30 - 12.30	14.00 - 17.00
	3 hours	2 hours	3 hours	2 hours	3 hours	
Adults	BI Team End Users x 3 Power Users x 2 Total - 5	Care Quality End Users x 13 Total - 13	Care Quality End Users x 11 Power Users x 3 Total - 14			Paul floor walking support.
Communications				End Users x 10 Total - 10	End Users x 7 Power Users x 3 Total - 10	

Diagram 14: Training Schedule

Go Live	Floor Walking/Drop in Sessions	Go Live	Floor Walking/Drop in Sessions
Monday 18th December	Tuesday 19th December	Monday 15th January	Tuesday 16th January
09:00 – 17:00	09:00 – 17:00	09:00 – 17:00	09:00 – 17:00

Diagram 15: Go live

- 9.9 Post the training sessions each of the delegates were invited to complete a training feedback survey. However, as with all survey's the number of respondents was significantly low compared to the number of people who attended the sessions.
- 9.10 The pilot "Go Live" took the form of two tranches as illustrated above in diagrams 12-15. Throughout the pilot an issue log was also maintained on SharePoint EDMS. This is where the pilot participants could log any issues that they encountered with the system.
- 9.11 During March and April individual feedback sessions were conducted with the pilot teams. Although the invites were open to both End Users and Power Users to attend they were largely represented by the Power Users. The sessions provided the attendees with the opportunity to discuss any issues they had encountered during the pilot that hadn't already been resolved by means of the issue log, but also to inform us about the overall End User experience, what went well, what could have gone better. Furthermore, this has also assisted the SharePoint project team regarding lessons learnt from the pilot.
- 9.12 The table below in figure 16 provides a representation of the questions and feedback that the project team asked during the sessions.

Question	Answers
<p>Question 1 - How do you feel the rollout has worked for the pilot? For example, communications, support, training</p>	<p>Lucky to have the project team in Information Management</p> <p>Training worked better in teams rather than mixed which is what happened first time round</p> <p>Assumption in training that everyone had an understanding of what they were saying</p> <p>Perhaps a rush to tick boxes in session, maybe splitting so it's not all in one session</p> <p>How we use online material - should we have pushed the videos a bit more</p> <p>Felt having to learn on the job</p> <p>Communications' were consistent</p> <p>Training was done a while before all functionality was available, had it all been launched at the same time it would have been easier</p> <p>At the moment, it has to be half and half with emails until SyncPoint, is enabled</p> <p>Pilot needs to run for longer so that we can utilise all the functionality</p> <p>FAQ's would be useful to have published</p> <p>Using 'SharePoint' for message of the day would be useful</p> <p>File plan work, some more work required, didn't know what system we were going to get when we developed this, hopefully now we know the system better we can help with this.</p> <p>It has made admin processes of scanning easier but this could be streamlined further by using Ezescan software.</p> <p>Training worked well</p> <p>Team training was good</p>
<p>Question 2 - What do you think about SharePoint</p>	<p>Search functionality could be better, would be useful to search by author, dates created.</p> <p>Documents bulking up in some areas and more</p>

	<p>metadata required</p> <p>Positive feedback on metadata - did not expect to like this but have become accustomed to it</p> <p>Saving, would be useful to be able to save directly from the application</p> <p>Recent places not building up</p> <p>Breadcrumb trail would be useful</p> <p>Found it brilliant because we can go into SharePoint and easily get whatever is required for panel packs, this is an electronic and paper pack</p> <p>Talked a bit about the new external sharing platform but this might not be of use to SEN because everything they are sharing is sensitive so currently they use encrypt and send.</p> <p>Performance is as it should be, time and practice will improve it further</p> <p>That it would be more successful and have better impact if using SharePoint was compulsory</p> <p>There needs to be more manager support and engagement, particularly from middle management.</p>
<p>Question 3 - overall what is the impact on your work? For example, what have you been able to do differently?</p>	<p>Collaborate and share - project a good case for how we can now Share and Collaborate better</p> <p>External sharing will be useful</p> <p>Some issues with Drag and Drop functionality but will be rectified by SyncPoint</p> <p>No save button is a difficult change to get used to</p> <p>Setting up specific areas of work gradually rather than on mass, ease into using SharePoint</p> <p>Haven't tried editing online but uploading, downloading has been a big improvement as this saves a lot of time, at the moment they have paper files and this makes it so much easier</p> <p>The team is very paper heavy and this is making it easier to be move to a more paper light environment</p> <p>Expressed it would be helpful to merge with Synergy as currently letters are written on Synergy and it would be useful to link these back to the SharePoint case file, at</p>

	<p>the moment it is unlikely these letters, which form part of the child's case file are being uploaded to SharePoint as well, meaning its split across 2 systems</p> <p>Prior to SharePoint this team only worked with paper files, this is the first move to using these files electronically</p> <p>Will have more of a chat about naming conventions on the folders in SharePoint as it would be useful to have the synergy number in the folder name as well as the child's name to link the file to synergy</p>
<p>Question 4 - Have you tried to scan to SharePoint - to create a readable PDF - Upload to SP PDF</p>	<p>The team had not tried scanning to SharePoint as there had not been a requirement to do so at the time the feedback sessions were held.</p> <p>Not yet but will try this as it will streamline their processes further</p>

Figure 16: Pilot Feedback Sessions

10 Outcome of the Pilot

10.1 Case Studies

- 10.2 An example of one instance regarding the time taken searching for documents on shared drives compared to the time take searching for documents stored in SharePoint during the pilot is given below. This example has been provided by Cambridge Education, Special Educational Needs team who participated on the SharePoint pilot. The graph provided below in figure 17 illustrates the average time taken to search for documents stored on SharePoint compared to searching for documents stored on the shared drive.

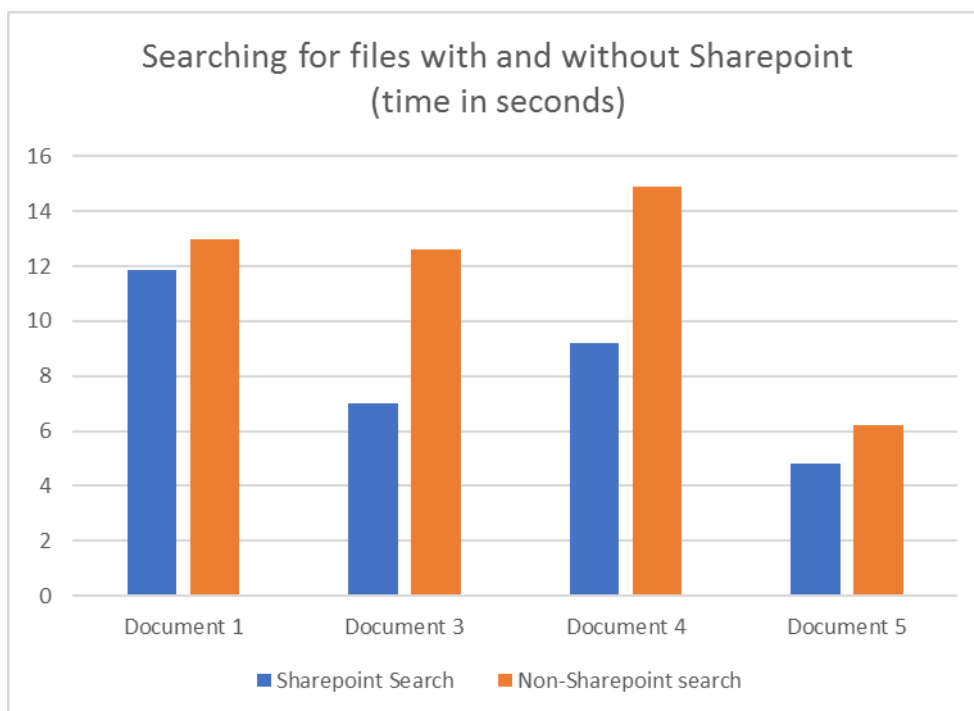


Diagram 17: Average time spent searching

Case Study Topic: Sharing Documents for Review IMT Records Manager

Process re SharePoint:

Before SharePoint I would draft a document and save it to the shared drive, then email this document to my manager to review and make comments. My manager would then save a new version of this document with her comments to the shared drive and name this indicating it included her comments, this would create two different documents in the shared drive.

Process post SharePoint:

I now draft a document and save directly to SharePoint, I can then share with my manager by sending a link straight to this document. The in-built versioning process in SharePoint means that she can work making changes and reviewing this document directly onto the link I have sent her, I can then go back to the original in SharePoint to look at the comments made on the new version.

Improvements:

It means a fewer number of documents are generated out of the process, meaning it's easier to manage.

It saves time searching for the most relevant version of the document

Case study topic: Collaboration – working on documents at the same time

Process pre-SharePoint: If Jess and I needed to work on the same document, we would need to save two versions of this to work on individually, and then one complete combine the information together. This would create two separate documents and then a completed document.

Process post SharePoint:

Now we're working in SharePoint, we only need one document which we can both work on at the same time. This is a function of SharePoint we use often and has really benefited the way we work.

Improvements:

It saves us time because we don't have to spend time combining the information we work on separately together.

It means we can work together more seamlessly as we can both keep track of areas we're working on clearly.

It means fewer numbers of documents are generated so it's easier to manage as there is only one document with versions saved to that 1 document.

Case Study Topic: FOI Requests

FOI Officer:

SharePoint makes locating, updating and sharing information easier. Using SharePoint, I am able to track changes and version control updates with colleagues within the team. Colleagues can work together in real time editing the document together to make the necessary changes, for example when compiling the Senior Commissioning Board (SCB) report. No longer are there multiple copies of different versions of the same document being sent around as attachments, links to one document in SharePoint are sent, so changes are made in one place, collaboration is auditable and documented with agreed changes locked down so all the End User of the policy will see and use is a final version of the document.

In IMT I am reviewing the Information Management Policy framework. There are a whole suite of policies, procedures and toolkits that need updating. I am now able, through the power of SharePoint, to work strategically across the Council and with our partners and contractors to build better and stronger relationships. I will need to share the policies with Information Management Governance Groups, Cambridge Education and Re and CSG for consultation and comment and this task will be made considerable easier as all I need do now is provide links, documents will be store and accessed from one place. Strong naming conventions enable users to know what the information is for. I can also restrict access to folders will policy is being formulated to only those that need to know, but then open up the policy suite once finalised to al staff.

Where I need to store documents that arise from a routine task, for example I prepare a weekly and monthly reports of FOI performance, I am able to locate the place to save the document more easily as my personal view shows the folders I regularly access. I can also allow the document to inherit metadata controls from earlier documents saving me time and make the documents easier to find for others searching SharePoint, making them accessible to all at all

times.

The benefits of SharePoint are clear less time processing administration of work, more time doing the work to build a better information management corporate asset which can be better exploited.

Case Study Topic: Special Educational Needs
Assistant Director: Access and Corporate Services

The implementation of SharePoint is business critical for the SEN team.

In order for staff to work in an electronic environment we need SharePoint as our recognised EDMS. Without SharePoint additional storage space will be required at Colindale to store the physical paper files we currently have on site here at the North London Business Park. This is because the files are accessed daily. Files that do not require immediate access are already stored offsite however, E&S are the biggest user across the Council, of the recall service provided by Stor A File the offsite storage provider.

E&S staff are currently benefiting from the SharePoint pilot by being able to work remotely and from home. Should a full roll out not go ahead, many E&S staff would need to work from the Colindale office on most days.

Without SharePoint, the physical files would need to be access controlled as the proposed location in Colindale is in the basement boiler room, the person with access control would need to be someone in the team.

11 Options, Recommendation and Rationale

11.1 The options for consideration are illustrated in figure 18 below. The recommended option is Option 4 which focuses only on service areas and their respective teams that are currently working under document stress, these are Adults & Communities, Commissioning, Cambridge Education and Family Services. The overall number of staff involved across the teams is circa 250 –300.

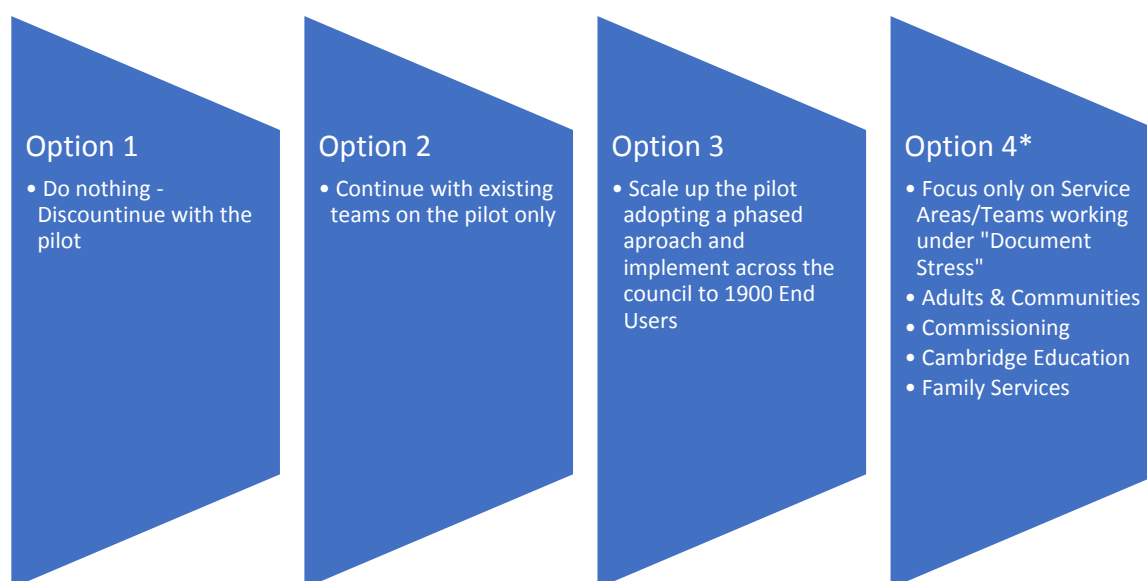


Figure 18: Options and Recommendations

11.2 The implementation of SharePoint EDMS affects internal working practices to improve the management of information at Barnet and provide users with tools that encourage collaboration and information sharing. Rather than applying a big bang approach we feel a more cost-effective way of implementing SharePoint across the Council is to adopt the phased approach outlined in Option 4 above.

11.3 This means this business case is requesting less money at a time when budgets are significantly reducing to enable the Council to re- invest more money in our front-line services. This also means that we are only putting in SharePoint where teams have demonstrated a business need to work in a digital environment, therefore, enabling them to work in a paperlight environment and in return allows more space at Colindale for staff as opposed to utilising prime office space for accommodating storage cabinets.

12 Advantages and Disadvantages of Each Option

Option No	Option	Advantages	Disadvantages
1	Do nothing and role the pilot back	No further costs incurred	Does not align with the TW3 Programme in terms of the new technology required to deliver the overall objectives of the program. The Council is committed to providing its staff, Members and partners with a flexible, collaborative working environment in line with modern government working practices. Collaboration is a central theme that runs right through the Council's corporate plan. Collaboration between officers, Members and partners is the foundation stone to lead collaboration across the public sector and by doing so helping us to achieve our ambitions and aims for service improvement and cost savings
2	To continue with the existing teams that participated on the pilot	No further costs incurred	There will be no further support available Sharing and collaboration will only be available to those on the pilot Paper files accessed daily will need to transfer to Colindale and therefore additional storage space will be required that has not been accounted for in the building
3	Scale up the pilot in tranches approach and roll out to remaining 1900 End Users	Implementation is achieved over a shorter timescale Aligns with the TW3 Programme in terms of the new technology	Implementation costs would be much higher as opposed to spreading the costs out on a "needs by basis". Not everyone will benefit from SharePoint such as delivery units providing front line services who use back office systems. It is also not good Records Management practise to apply a big bang adoption in terms of transferring all users to a new system simultaneously

		<p>required to deliver the overall objectives of the program.</p> <p>Will eventually replace standard shared drives once fully implemented across the Council</p>	
4	<p>Adopt a targeted approach This means focusing only on teams who are currently working in “Document Stress” where too much reliance on paper heavy processes and storing information on the shared drives not being able to collaborate and share information effectively</p>	<p>A targeted approach means less capital expenditure.</p> <p>Only onboards teams that meet the right criteria for the first phase of the implementation targeted” approach.</p> <p>Less resource is required within the project team</p> <p>Streamlines the team’s day to day activities by working in a born digital environment</p>	<p>The implementation will take longer as opposed to a big bang adoption</p> <p>Requires effort to make a shift in culture, changing the way staff, Members and partners currently work.</p>

		<p>Helps support the Councils strategic objectives and the TW3 programme</p> <p>Aligns with the TW3 Programme in terms of the new technology required to deliver the overall objectives of the program.</p> <p>Will eventually replace standard shared drives once fully implemented across the Council</p>	
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Figure 19 Advantages and Disadvantages of each Option

12.1 To successfully achieve the desired benefits of the TW3 programme option 4* is therefore recommended. This means we would only look to implement SharePoint EDMS to service areas where there is a “Critical” business need. This would streamline their day to day business activities by storing, managing, collaborating and sharing information more effectively with staff, Members and partners enabling them to free up time to spend on their vital areas of responsibility. Providing staff with the appropriate tools to carry out their day to day business functions more effectively.

13 Summary Assessments of EDMS Options

Option No	Option Detail	Cost	Usability	Accessibility	Integration	Reduction in Search Time	Sharing and Collaboration Inc. external partners
1	Do nothing and roll back the pilot	x	x	x	x	x	x
2	To continue with the existing teams that participated on the pilot	✓	x	x	x	x	x
3	Scale up the pilot in tranches and roll out to remaining 1900 End Users	✓	✓	✓	x	✓	✓
4	Adopt a targeted approach This means focusing only on teams who are currently working in "Document Stress" where too much reliance on paper heavy processes and storing information on the shared drives not being able to collaborate and share information	✓	✓	✓	x	✓	✓

Figure 20: Summary Assessment

Filename: SharePoint EDMS FBC

Date: 10/05/2018

Version: V1 Final

14 EDMS - Associated Risks with Each Option

Option No	Option Detail	Risks
1	Do nothing and roll back the pilot	<p>Staff, members and partners will not be able to work in a collaborative and agile environment. This is especially intensified when we move to Colindale where staff will be required to work more flexibly away from the office.</p> <p>Negative impact on service delivery</p>
2	To continue with the existing teams that participated on the pilot	<p>There will be no support budget for the application to be maintained.</p> <p>No global control in terms of administration and security access</p> <p>Usage will not be monitored</p> <p>Pilot users will not be able to embrace the full functionality of SharePoint</p> <p>Negative impact on service delivery</p>
3	Scale up the pilot in tranches and roll out to remaining 1900 End Users	<p>Rolling out to all 1900 staff will not be a cost-effective approach as not every staff member will require SharePoint and therefore will not benefit from having it.</p> <p>Slow adoption if the right training is not delivered</p>

		<p>User resistance due to cultural change</p> <p>Users are not allocated sufficient time to attend training sessions due to work pressures especially DU's that provided front line services</p> <p>Managers not promoting the use of SharePoint. The roll out needs to be endorsed by senior managers</p> <p>Network capacity unable to cope</p> <p>Pressure on timescales for full roll out Timescales are unrealistic SharePoint is not implemented in the planned timescales and benefits are delayed</p> <p>Lack of availability or priority in terms of Insufficient communications coming out from Change workstream People not sufficiently aware of the changes and resist changing</p> <p>System deployment is delayed</p> <p>Lack of money and availability of skilled staff</p> <p>Technical work not done, or delayed, and costs more</p>
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		<p>Security privileges not managed</p> <p>Security privileges incorrectly correctly set up</p> <p>Specific business areas are not able to work in SharePoint</p>
4	<p>Adopt a targeted approach This means focusing only on teams who are currently working in “Document Stress” where too much reliance on paper heavy processes and storing information on the shared drives not enabling staff to collaborate and share information effectively</p>	<p>Slow adoption if the right level of training is not provided</p> <p>User resistance due to cultural change</p> <p>Users are not allocated sufficient time to attend training sessions due to work pressures especially DU’s that provided front line services</p> <p>Managers not promoting the use of SharePoint. The roll out needs to be endorsed by senior managers</p> <p>Insufficient ongoing support and maintenance if Capita Admin team are not fully trained on all aspects of the SharePoint functionality</p> <p>Network capacity unable to cope</p> <p>Pressure on timescales for full roll out Timescales are unrealistic SharePoint is not implemented in the planned timescales and benefits are delayed</p> <p>Lack of availability or priority in terms of Insufficient communications coming out from</p>

		<p>Change workstream People not sufficiently aware of the changes and resist changing</p> <p>System deployment is delayed</p> <p>Lack of money and availability of skilled staff</p> <p>Technical work not done, or delayed, and costs more</p> <p>Security privileges not managed Security privileges incorrectly set up Specific business areas are not able to work in SharePoint</p>
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Figure 21: Summary of Assessments

15 Summary of Lessons Learnt from the Pilot

15.1 The most pertinent lessons learnt from the pilot are summarised below and have been factored into the project management approach and recorded in the lessons learnt, risk and issues log for future reference.

- A theme which developed across all the pilot teams was that the pilot was not so much about the technology which was being tested but more about the implementation, the End User experience, training and the challenges to overcome with the cultural shift from working in a heavy paper based environment and the transition to working in a collaborative and agile way. It is paramount in ensuring line managers support and drive through this enormous change in the way staff are expected to work and embrace the new technology. Despite constant attempts to get staff to adopt SharePoint whose line managers signed up for their teams to commit to the pilot it is certainly not a case of asking once or twice for staff to try the new technology. There needs to be a constant drive and push to steer some staff into using it. This can only come from the project team, senior managers and change champions. Figure 22 provides an illustration of pilot user adoption between Jan – April
- Staff engagement was also challenging at times throughout the pilot in terms of their availability to meet with the project teams. Should this business case be approved there is an expectation on line managers to allow time for the project team to work with the teams to design their file plans and to also participate in user acceptance testing including time out to attend End User training sessions. Line managers will be accountable for making sure their respective teams are allowed the time needed to not only work with the project team to get them to a state of readiness for onboarding, line managers need to ensure they champion the platform but also commit to allowing adequate time for End Users to attend their scheduled training sessions and moreover release staff to work closely with the project team when it involves building their file plans
- The Procurement process could have been more robust by CSG who managed the entire procurement process. Significant gaps were identified by the SharePoint project team (the customer) where processes had not been followed correctly. These have all been addressed with CSG to ensure there is no repeat occurrence when procuring the software from the supplier for the roll out
- Different terminology was used in the training sessions which caused confusion. Should this business case be approved a Glossary of Terms will be provided to the delegates in advance of their training
- We will conduct a self-assessment of Technology/SharePoint experience for End Users/Power Users ahead of their training to tailor the training to their specific needs

- Training content delivery will be tailored to walk-through the teams' specific areas such as file plans, sites and document libraries in SharePoint
- AI will deliver training to a group of SharePoint Champions who are considered as more "tech-savvy", and are adequately competent enough to support a "train the trainer" approach
- We will allow sufficient time for building file plans. This was perhaps the most time-consuming task for the project team
- Figure 22 below illustrates the % of users from each of the teams who actively participated in the pilot. The results indicate more time is required to encourage users who may require additional support when learning a new system. This will all be considered for the full roll out.

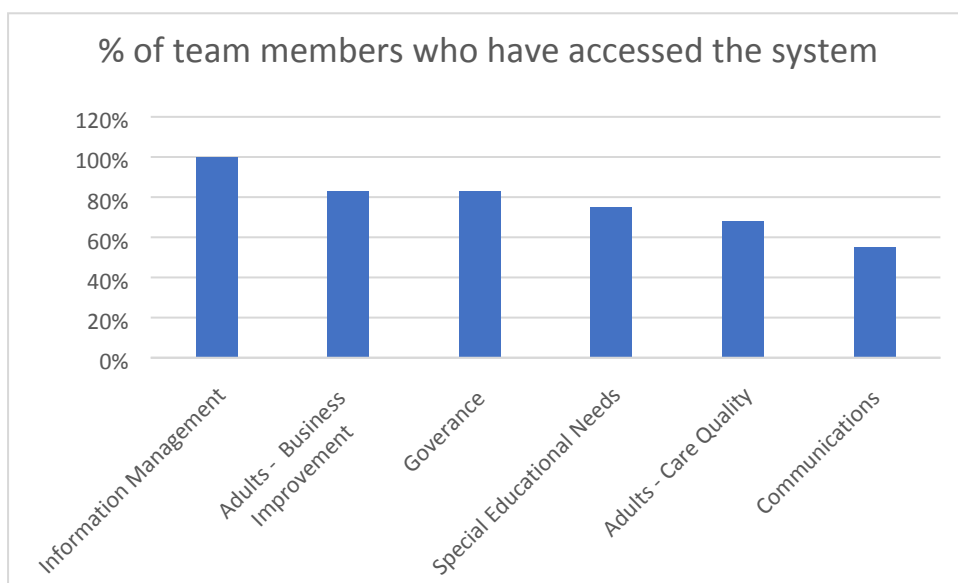


Diagram 22: % of team members who have accessed SharePoint

16 Equality and Diversity

16.1 Approach

16.2 The Equalities Act 2010 and Section 149 which sets out the General and Specific Public Sector Equality Duties (PSED) require 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 and

- groups; and
- Foster good relations between people from different groups

16.3 Equality and diversity issues are a mandatory consideration in the decision making of the Council. This requires decision makers and elected members to satisfy themselves that:

- Equality considerations are integrated into day to day business.
- All proposals have properly taken into consideration what impact, if any,
- there is on any protected group and what mitigating factors can be put in place

16.4 The protected characteristics are age, disability, gender, marriage and civil partnership, pregnancy, religion and belief, sexual orientation and transgender status.

It was not considered necessary to carry out a self-assessment equalities questionnaire with the teams involved in the pilot, (therefore we do not have evidence on all the protected characteristics). We took a light touch and proportionate approach through the working relationship with individual team members and we were satisfied that the teams involved in the pilot were likely to reflect a range of diversity across the 9 protected characteristics. No issues emerged during the pilot which suggested any adverse impact on any particular personal characteristic.

16.5 No direct adverse impact has been identified throughout the initial pilot. The SharePoint EDMS project affects internal working practices to improve the management of information at Barnet and provide users with tools that encourage collaboration and information sharing. We think the impact has been positive for all groups throughout the pilot and we will continue to monitor and explore the impact of our proposal on the protected characteristics.

16.6 There is a positive impact of this project that optimise the potential impact of the TW3 programme.

Disabled or staff with health conditions will be able to work more flexibly and not have to attend offices for meetings. There are also potential benefits for parents and carers who may be able to work more flexibly at home or other locations.

An assessment has been carried out on any staff impact of these and we anticipate there will be no impact for the reasons listed below because:

- All Staff who will be affected by SharePoint EDMS are already working in digitally included ways and selection criteria will be included for new recruits.
- All Staff and new recruits will receive training when implementing SharePoint EDMS and any particular individual needs will be identified and addressed as part of the implementation
- We will be working with any staff and new recruits who have a disability which requires an adjustment with regard to new technology. Some of these will already

be known to managers and some may only become apparent as the new technology is deployed. Any further adjustment required because of SharePoint EDMS will be accommodated through the management of change process and is dependent on the wider the 'Way We Work Programme'.

- 16.7 Equality impacts will be kept under review as the implementation of SharePoint EDMS develops.
- 16.8 The staff equalities data used to analyse the equalities impact was provided by Human Resources (HR). A copy is available on request.

17 Information Assurance and Security

- 17.1 Ensuring appropriate access and security to information and records will be a key part of each of the projects. Whilst the Council already has policies and processes that manage access to and security of information, these will need to be amended for our new working environment. The Information Management Team and Information Security (IS) will remain key stakeholders and supporting partners within the SharePoint EDMS project.
- 17.2 To deliver assurance, a full Information Management Impact Assessment (IMIA) will be completed and reviewed and amended as necessary throughout the project. An IMIA looks at the project's aims and objectives, the workflows of information and the processes to manage the information. It considers the access, sharing, security and privacy rights relating to the project and identifies whether a Privacy Impact Assessment (PIA) is required. Completing an IMIA allows the council to identify potential issues and apply good practice, allowing the project to make the best use of information and achieve objectives, whilst ensuring appropriate risk management and compliance with legislation.

18 Security

- 18.1 Security considerations is a key aspect of SharePoint as described above. As the council's current, shared drive environment is more difficult to manage, moving to SharePoint EDMS aims to improve security and access controls. Processes for managing access and security will be considered either through SharePoint EDMS, or through complementary software, such as that designed specifically for managing user access to documents. Bitglass software has been specified as a cloud access security broker and proxy, and this solution will be ratified by the Government Digital Service (GDS) as part of detailed design. This gives an additional security wrapper over the generic Microsoft Cloud security, to meet GDS Cloud Security principles manage them. Risk assessments and technical tools, such as penetration tests have also been used to identify risks and allow the Council to choose its risk tolerance in various areas.

19 Support

- 19.1 It is a key part of the Information Management Strategy to support delivery units, partners and the commissioning function in their management of information. Support to the project itself and to relevant stakeholders will continue throughout the projects. As the projects transition to business as usual, IS will continue to provide technical support for SharePoint EDMS.
- 19.2 The records management function within IMT will lead on day to day management of the EDMS. Additionally, and in line with the IM Strategy, IMT will continue to review and develop policies and procedures that promote realistic security and control, ownership and effective management of information, whilst supporting delivery units and partners to achieve our corporate plan objectives.

20 Privacy

- 20.1 There are no unusual privacy considerations for the project generally in relation to privacy concerns of staff, customers and the organisation, as relevant access and security measures are already embedded into the way the council works. The new GDPR is now law and therefore the Council must meet the new mandatory requirements. The SharePoint project team will conduct a Data Protection Impact Assessment at the start of full roll out.

The process involved will be aligned with phase 1 of the implementation. This means by the end of the financial year 2018/2019 the Data Protection Impact Assessment will have taken place.

20.2 Key Issues

- That appropriate standards for access and security are translated to the new tools and that support and training is provided that encourages a smooth transition to new ways of working.
- That training ensures that staff, members and partners are aware of their responsibilities in relation to managing information and how to deliver those within the new tools and working environment.
- That the projects deliver benefits in compliance, for example, appropriate access to electronic documents is improved to reduce risks in relation to transport of paper records.
- That the projects provide improvements to how information can be managed and shared appropriately, such as collaboration tools managing technical support, appropriate process and policies and assurance in the future, where there are privacy and access concerns.

21 Procurement Route

- 21.1 There were several options considered for the procurement of the SharePoint EDMS pilot. As the full life value of the contract will be over the Official Journal European Community (OJEC) threshold then the following approaches were considered for SharePoint EDMS only:
- G Cloud 7 or 8 Framework Agreement 1557t owned by Crown Commercial Services
 - Customer & Support Group (CSG) Contract – Schedule 15
 - Official Journal European Community
- 21.2 To ensure the Council's strategic IT partner is invested in the Council's choice of EDMS which will be a core element of the overall IT architecture, and is able to provide effective on-going support for this system. The implementation of SharePoint EDMS will continue to be managed by CSG under Section 15 of the CSG contract. The Council will rigorously assess CSG's ability to implement a system that meets the Council's requirements.
- 21.3 This will consider both the value for money of the proposal as well as the technical suitability of the proposed solution, supported by Leidos, the Council's Technical IT Assurance partner. If, following this assessment, the Council does not feel that CSG's proposal meets the Council's EDM requirements adequately, or provides sufficient value for money, then a procurement exercise will then be run through the G-Cloud 7 and 8 Frameworks.
- 21.4 CSG IT will be required to demonstrate the following:
- **Systems:** We will expect CSG IT to look and review the product the Council wish to continue to use (SharePoint EDMS) post the pilot to ensure that it continues to match our business/user requirements and to also suggest alternative products if this is believed appropriate.
 - **Proposals:** The proposals must be matched against the Council's requirements to enable the Council to assess which the preferable products they prefer rather than CSG IT and any subsequent bidder providing a proposal based purely around their preferred stating a system they will implement. The Council will require demonstrations of each system.
 - **Milestone payments:** CSG and any subsequent bidder should commit to milestone payments with clear acceptance criteria – this includes retaining a proportion of payment until after the project has been delivered to ensure any significant issues that occur after the product is launched are resolved.

22 SharePoint EDMS Incremental Implementation Approach

- 22.1 It is not sensible or good records management practice to implement SharePoint EDMS across the Council in its entirety all at the same time. This business case therefore

recommends Option 4 illustrated in figure 18. Option 4 proposes an iterative process for the implementation of SharePoint EDMS, using agile delivery methodology. Teams working in document stress will become the first adopters of SharePoint EDMS outside of the pilot and within this current financial year 2018-2019. An illustration is provided below in figure 22 below. The implementation of the remaining teams who may have a requirement for SharePoint EDMS during 2019/2020 will be scaled up accordingly based on demand and will therefore result in parallel running for the remainder of the implementation.

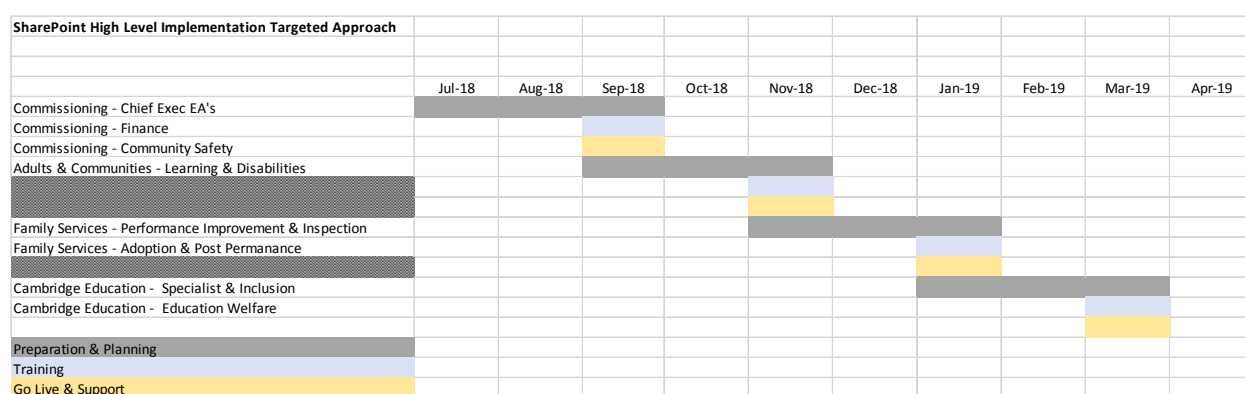


Figure 23: High Level Plan

23 High Level Mobilisation Activities

23.1 Based on our assumptions, good records management practise and lessons learnt throughout the pilot, figure 23 below illustrates a typical 7 phased high-level mobilisation approach:

Note: We will work closely with the implementation partner post the award of the contract to drill down into the granular details and replace with a master implementation plan which will also take into consideration the lessons learnt previously.



Figure 24 High level Mobilisation Activities

24 Training and Support for the Full Roll Out

24.1 This section sets out a possible approach to SharePoint EDMS training and takes into consideration the lessons learnt from the pilot user training. The approach and information set out has been successfully used in other projects but will be reviewed as the project progresses to ensure that it meets Council requirements and the ongoing needs of staff, Members and partners.

24.2 Working in SharePoint is a huge cultural change to staff, Members and partners that will certainly, bring various challenges, primarily the cultural shift and the introduction of the new technology which for some can often be a very daunting experience and will need to be dealt with sensitively and tailored in accordance to people's different levels of learning abilities and how they adapt to change.

24.3 The general training approach will be an iterative one whereby initial training will be delivered in a classroom environment to enable staff, Members and partners to use the system. This training will then be reinforced and tailored following a period of use. This will ensure that user experience is incorporated into subsequent training as the training is delivered. We will appoint SharePoint Champions for each team whose key role will be to support members of the team who may require additional support post their classroom training session.

Technical Administrators and Super Users of the system will also be trained by the supplier as this type of training is more intense.

- 24.4 The Information Management Team will also run a series of lunch time sessions otherwise known as 'Drop in Sessions' so that staff can come and talk in an open forum about the End User experience, technical, functionality and reliability of the EDMS system and discuss any concerns they may have about using the system.
- 24.5 In addition to the comprehensive training manuals that will be enhanced following feedback from the pilot there will also be video clips, quick reference guides and Frequently Asked Question sheets (FAQ).
- 24.6 It is also the intention to schedule walk the floor sessions more frequently than the initial pilot provided to support the End Users at their desks.
- 24.7 The Records Manager will be the first point of contact via the Records Management (RM) helpdesk for day to day queries relating to SharePoint such as changes to file plans. If an End User contacts the Information Management Team with a technical problem they will be informed to log a call with CSG IT via the normal channels.
- 24.8 The Records Manager will embrace SharePoint EDMS to deliver a series of EDMS training webinars. The idea of webinars will enable us to deliver training sessions for staff, Members and partners following their initial training should they start to encounter teething problems when using the system.
- 24.9 The Information Management Team will survey End Users at regular intervals using Survey Monkey or similar to gauge the End User's perception, experience of the system, views, adoption, including looking out for any trends that maybe forming so that these can be addressed as soon as they occur.
- 23.10 The Records Manager will post weekly newsletters and maintain a Frequently Asked Questions (FAQ) sheet which will be available on the SharePoint EDMS landing page for all users to see including alerts when new functionality is released such as 'what's new'.
- 24.11 SharePoint EDMS 1st and 2nd line support will be provided via the Information Management team and CSG IT with 3rd line support will be federated to Microsoft.

25 Communications

- 25.1 SharePoint EDMS implementation communications will be managed and delivered as part of the communications function. SharePoint EDMS communications are part of the broader The Way We Work (TW3) programme and therefore under the TW3 branding. The formally approved change management strategy and the communications approach are the relevant strategic documents and set out the approach to communications and engagement across the entire programme. This includes the process for review and all messaging.

- 25.2 The roll out of SharePoint EDMS including O365 represents a significant improvement in the basic productivity suite for the London Borough of Barnet. Therefore, we will take a progressive and innovative approach to how the implementation is communicated to staff using traditional methods of communication and engagement alongside new methods enabled by the new technology.
- 25.3 Communications will be delivered through established channels such as the Intranet and First Team and via new and established change champions network. Areas without access to the Council intranet will publish content through their own established channels. These electronic communications will be supported by a series of drop in sessions and other traditional media such as leaflets and posters.
- 25.4 As an example of innovation, FAQ documents are well established as an engagement tool in Barnet. For this project staff will be able to edit the FAQ directly on SharePoint once they have access, including being able to ask their own questions and contribute to other responses via a forum.

26 Expected Benefits

- 26.1 The expected benefits table illustrated in figure 26 illustrates the key benefits of a SharePoint implementation. Therefore, when the first phased approach is completed with the 8 teams who have asked to become early adopters of SharePoint EDMS the benefits listed in the table below will be measured in accordance with the measurable target that we have estimated based on our findings from the initial pilot. It should be noted that the benefits may change as the implementation progresses.

SharePoint EDMS Benefit Reference	Benefit type	Description of benefit	Expected benefit value	Time these benefits are expected to be achieved	How will the benefit be measured	Benefit Owner	Baseline Value and date: (£ % etc)
SP EDMS B1	Improved Sharing & Collaboration	SharePoint will improve staff experience in Sharing & Collaboration	10-50% increase in satisfaction of sharing information through collaborative working	April 2019 March 2020	Based on survey in April 2018	Jenny Obee	TBC
SP EDMS B2	Reduction in search time	SharePoint will deliver 15% reduction in staff search time through quicker and easier identification of relevant information and knowledge	15% reduction in staff search time	April 2019 March 2020	Head to head search test between SharePoint and Shared Drive	Jenny Obee	TBC
SP EDMS B3	Improved document control	SharePoint EDMS will deliver a 35% reduction in using the incorrect version of a document by using the correct version always being explicitly available	35% reduction in using the incorrect version of a document	April 2019 March 2020	Survey – Consider validity of a survey capturing document control issues pre- SharePoint	Jenny Obee	TBC

SharePoint EDMS Benefit Reference	Benefit type	Description of benefit	Expected benefit value	Time these benefits are expected to be achieved	How will the benefit be measured	Benefit Owner	Baseline Value and date: (£ % etc)
SP EDMS B4	Reduced disaster recovery costs	SharePoint will deliver a reduction in disaster recovery costs by March 2020 by the use of cloud storage	10% reduction in disaster recovery costs	April 2019 March 2020	Source TBC	Jenny Obee	TBC
SP EDMS B5	Copying and re-using information	Time savings due to improved access to similar information which can be copied and re-used ensuring we do not reinvent the wheel.	5% increase in re-using existing information	April 2019 March 2020	Survey - estimated time savings due to reusing existing information	Jenny Obee	TBC
SP EDMS B6	Mobile staff are able to access, capture and manage electronic information quicker	Increase in satisfaction from mobile users	20% Increase in satisfaction from mobile users	April 2019 March 2020	Staff surveys and drop in sessions focusing on effectiveness now, then mid implementation /post implementation.	Jenny Obee	TBC

Figure 25: Expected Benefits

27 Summary of Key Risks

27.1 This section summarises the key risks associated with the recommended option for SharePoint EDMS. Initial mitigation strategies are also identified.

Ref No	Description	Mitigation	Current Risk Score
SP EDMS 1	Insufficient storage and network capacity affects performance. Insufficient storage capacity may not be available for corporate roll out level. The system may reach capacity as more service areas migrate to the EDMS platform EDMS resulting in performance issues	Liaise with Technical Infrastructure team to review capacity and monitor storage availability as implementation progresses. This is also being managed as a separate project outside of the EDMS project by Capita.	4
SP EDMS 2	Poor clean -up of shared drives post implementation.	Nominated team representatives will need to be identified to ensure shared drives are cleansed in accordance with agreed timescales. Progress will be monitored by the project team. Slippage will be recorded and escalated to team managers where necessary.	6

Ref No	Description	Mitigation	Current Risk Score
SP EDMS 3	Security privileges not managed. Security privileges incorrectly set up Specific business areas are not able to work in SharePoint	A review of permissions in all SharePoints environment's will be required to be in place prior to UAC testing and deployment	2
SP EDMS 4	The implementation has a set budget to work with. If the scope increases in an uncontrolled manner budget may not be sufficient to deliver all objectives.	Close monitoring of budget and highlight to programme board any concerns. Scope full implementation will be locked down pre-contract signature stage	1
SP EDMS 5	Scope will be locked down at point of contact signature	Scope changed will be locked down at time of contract signature	6
SP EDMS 6	Monitor delivery against communications plan and work closely with TW3 Change Manager to ensure consistent and accurate communications as cascaded appropriately and in accordance with the TW3 communications plan	Work closely with TW3 Communications	2

Ref No	Description	Mitigation	Current Risk Score
SP EDMS 7	Network demands arising out of O365 & EDMS deployment Higher demands than anticipated on the LAN and WAN.	<p>Based on existing network load (obtained via Cisco platform) it is anticipated that there is sufficient capacity for 1500 "heavy users" (Skype video and audio) and 1500 "light users"</p> <p>BAU project underway to assess the network capacity requirements. This is also being managed as a separate project outside of the EDMS project by Capita in parallel with the storage capacity project.</p> <p>There are plans to upgrade the Internet pipe to 200MB. This is scheduled to take place after the election period. This pipe is dedicated traffic for Office 365:</p> <ul style="list-style-type: none"> . Email . OneDrive . SharePoint . Skype for Business <p>This will guarantee network traffic bandwidth for Office 365.</p>	20
SP EDMS 8	Training plans for SharePoint	Training workshops will be scheduled. Supplier will deliver initial training workshops. A train the trainer approach will also be included as part of the supplier delivery/implementation approach and SharePoint Champions will also be appointed	2

Figure 26: Summary of Key Risks

28 Cost Investment and Appraisal

SharePoint Phase Implementation	Costs
IT Implementation costs (capital)	£153,000
Project Manager, Records Officer, SharePoint Developer (capital)	-
- SharePoint Developer – 0.6 FTE. Full time cost, £90k	£54,000
- PM – 0.6 FTE. Full time cost, £90k	£54,000
- Records Officer – 0.5 FTE. Full time cost, £30k	£15,000
IT support costs (revenue)	£25,000
Total Phase Implementation Costs (capital)	£276,000
Total Phase Support Costs (revenue)	£25,000

Figure 27: Cost Investment Appraisal

The cost to undertake this 1st phase of the SharePoint EDMS implementation for up to 300 users over a period of 12 months will not exceed a capital spend of £276,000 see figure 6 below.

The revenue costs create a pressure, which can be managed through the application of retention and disposal on the council's home drives, shared drives and off-site storage of paper records. The reduction in cost this financial year will at least meet these increased revenue costs to net these off.

29 Project Assurance

Project Assurance Plan					Outcome of Project Assurance Activity			
Phase	Assurance Activity	Assurance Date	Milestone	Milestone Date	Individuals/Stakeholders Involved	Actions Recommendations	Expected Implementation Date	Actual Implementation Date
Stage 1	Closure of successful pilot	April 2018	TW3 Programme Board	April 2018	TW3 Programme Board/Delivery Units	Proceed to Full Business Case	July 2018	TBC
Stage 2 Project Start Up	Full Business Case Approved by P&RC	June 2018	Policy & Resources Committee	June 2018	Policy & Resources Committee	Proceed to stage 3	June 2018	TBC
Stage 3 Procurement	Ratification of Procurement Recommendation - EDMS	June 2018	Procurement	July 2018	Procurement	Proceed to stage 4	July 2018	TBC
Stage 4 Implementation	Confirmation to start mobilisation	July 2018	TW3 Programme Board	July 2018	Programme Board Decision	Mobilisation commences proceeds with Delivery Units phases 2-6	March 2019 for Phases 1-6 in FBC	TBC
Stage 5 Closure	Closure of phased implementation Phases 2-6	March 2019	TW3 Programme Board	March 2019	Programme Board Decision	Phases 2-6 completed	March 2019	TBC

Figure 28: Project Assurance

30 Dependencies

Ref No	Dependency
DEP 1	<p>Internet Traffic</p> <p>A suitable IT infrastructure capable of supporting both the demands of EDMS and O365. At the time, this business case was authored the current situation is as follows:</p> <p>LBB internet pipe Size: 100MB Usage: Fluctuating between 70-85%</p> <p>This pipe is used for standard internet traffic:</p> <ul style="list-style-type: none"> . Internet searching . Web based line of business applications hosted outside of Capita data centres (e.g. Exxor, Swift) <p>There are plans to upgrade this pipe to 200MB. This is scheduled to take place after the election period.</p> <p>Microsoft Azure ExpressRoute Size: 500MB Usage: minimal</p> <p>This pipe is dedicated traffic for Office 365:</p> <ul style="list-style-type: none"> . Email . OneDrive . SharePoint . Skype for Business <p>This will guarantee network traffic bandwidth for Office 365.</p>
DEP 2	<p>Resources</p> <p>Availability of resources for project delivery</p>
DEP 3	<p>End User Engagement</p> <p>Engagement with key stakeholders, business owners and decision makers being available to engage with the project team</p>
DEP 4	<p>Delivery units/teams will be expected to engage frequently and work with the project team. This work will be determined at the Stakeholder/User requirements workshops. There is a dependency on the delivery units cooperating for SharePoint EDMS to be used to its full potential going forward.</p>
DEP 5	<p>A phased approach will be adopted for migrating teams across to SharePoint EDM in accordance with the people moves across to Colindale including any special projects that maybe taking place. This will be agreed during the user engagement workshops such as Ofsted inspections or similar.</p>

Figure 29 Dependencies

31 Appendix A Glossary of Terms

Abbreviation and Term	Description and Definition
CSG	Customer Support Group
CSG IT	Customer Support Group IT
EDMS	Electronic Document Management System
FAQ	Frequently Asked Questions
GDPR	General Data Protection Regulation
GDS	Government Information Security
IMT	Information Management Team
IS	Information Security
LBB	London Borough of Barnet
O365	Office 365
OJEC	Official Journal European Community
TW3	The Way We Work

33 Document Control

File Path	
Reference	
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33.1 Document History

Date	Version	Reason for Change	Changes made by
09/01/2018	V01	Review & feedback from JO	Jenny Obee/Jane Proffitt
26/02/2018	V02	Review & feedback from JO	Jenny Obee/Jane Proffitt
29/03/2018	V03	Review & feedback from JO	Jenny Obee/Jane Proffitt
02/04/2018	V04	Review & feedback from JO	Jenny Obee/Jane Proffitt
13/04/2018	V05	Review & feedback from JO	Jenny Obee/Jane Proffitt
17/05/2018	V1	Final	Jenny Obee/Jane Proffitt

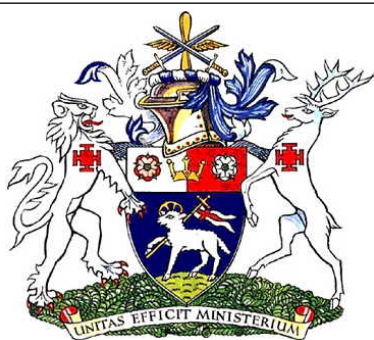
33.2 Distribution List

Name	Role	Date
Jenny Obee	Head of IT & Information Management	
Cath Shaw	Deputy Chief Executive	

33.3 Approvals

By signing this document, the signatories below are confirming that they have fully reviewed the Full Business Case for EDMS, O365 and UC project and confirm their acceptance of the completed document.

Name	Role	Signature	Date	Version
Jenny Obee	Head of IT & Information Management			V1
Cath Shaw	Deputy Chief Executive			



Policy and Resources Committee

Mon 11th June 2018

Title	Authorisation to participate in the Mayor of London's REFIT programme to retrofit energy saving measures to Council assets to save energy and running costs
Report of	Cath Shaw, Commissioning Director, Growth & Development
Ward	All
Status	Public
Urgent	No
Key	No
Enclosures	None
Officer Contact Details	Iliana Koutsou Client Lead – Capital Works 0208 359 5494 iliana.koutsou@barnet.gov.uk

Summary

The report seeks approval for Barnet Council to participate in the Greater London Authority (GLA) GLA's REFIT programme to retrofit energy saving measures to Barnet Council assets to save energy and running costs. To enable this, Barnet Council can apply for a 0% interest loan from Salix, an independent, not for profit company which provides interest free capital for the public sector to reduce their energy costs by enabling the installation of modern, energy efficient technologies and replacing dated, inefficient technologies. Barnet Council would utilise the GLA's procurement framework to secure a contractor. Currently, Barnet Council does not have a programme of major energy saving measures and initiatives to reduce running costs across its assets, so the GLA's REFIT programme presents an opportunity for Barnet Council.

Recommendations

1. That the Committee resolve that Barnet Council participates in the Mayor of London's RE:FIT programme to secure energy savings across Barnet Council assets.
2. That the Committee approve the decision to apply for a 0% interest Salix loan for energy saving works, subject to due diligence.
3. That the Committee approve the decision for Barnet Council to utilise the GLA's fast track procurement framework for the works

1. WHY THIS REPORT IS NEEDED

- 1.1 RE:FIT is the Mayor of London's building retrofit programme for the public and third sector, guaranteed to cut energy costs, find new ways to generate income, improve energy performance and reduce carbon emissions. This report provides authorisation for Barnet Council to engage in RE:FIT, and to seek a 0% interest loan to support this activity.
- 1.2 Council assets could include the town hall, libraries, depots, schools, community buildings etc. Typical energy saving measures could include loft insulation, insulation to pipework, photovoltaic panels. At this stage the Council assets and the energy saving measures are not specified. This is because a contractor must be appointed first, to undertake analysis of assets and propose suitable energy saving measures.

2. REASONS FOR RECOMMENDATIONS

- 2.1 The recommendations will enable Barnet Council to make use of the GLA procurement framework to retrofit energy saving measures to Council assets. It is recommended that a 0% loan (from Salix) is made use of, as the Council cannot borrow funds otherwise at such a favourable interest rate.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 The Council could do nothing, but this is not recommended as energy and cost savings will not be realised.
- 3.2 The Council could carry out its own procurement exercise to procure energy saving measures from the market. This is not recommended as it would be a time consuming process and costlier than using the GLA programme office. The GLA provide a fast-track OJEU compliant framework with 16 contractors to choose from.

4. POST DECISION IMPLEMENTATION

- 4.1 The Council will conduct a soft marketing exercise to ascertain interest from the GLA's contractors in the energy saving work across its estate.
- 4.2 The Council will work with the GLA to complete the Salix 0% loan application.
- 4.3 The Council will work with the GLA to compile the tender documents.
- 4.4 The successful contractor will identify appropriate Council assets and energy saving measures.
- 4.5 Once the loan is secured, the works will be implemented. The contractor is contractually obliged to monitor the energy savings and report to the Council and GLA. This means that a measurable improvement in energy performance per annum is guaranteed.

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

- 5.1.1 This project is in line with the Council's vision to deliver responsible and sustainable investment, and deliver energy cost savings across Council assets.

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

- 5.2.1 At this stage the loan amount is not defined. This is because the amount of loan required will depend on the works identified by the successful contractor. Once the contractor is secured through the procurement process, the amount of loan will be able to be articulated. The loan could be between £300-000-£1M+.
- 5.2.2 At this stage, the procurement value is not defined. This is because value of the works across the Council's assets will be defined by the successful contractor. The works will be undertaken by an OJEU compliant contractor. The GLA provide a fast-track OJEU compliant framework with 16 contractors to choose from.
- 5.2.3 Staffing resource will be minimal due to support from the GLA programme office.
- 5.2.4 Assets owned by Barnet Council will be considered for energy saving measures.
- 5.2.5 This project will contribute towards the Council's financial sustainability, reducing the amount spent per annum on running costs (electricity, heating) which will be used to repay the loan over 5 years. The project also contributes towards environmental sustainability, as energy use will be reduced.

6. Legal and Constitutional References

- 6.1.1 The Council's Constitution, Article 7 sets out Policy and Resources Committee terms of reference including strategic policy, finance and effective use of resources including authorising procurement activity within the remit of the Committee.
- 6.1.2 As long as the RE:FIT Framework Agreement was lawfully procured, the Council is named as a potential call-off body in the Framework Documents, the services are in scope then the Council can utilise the Framework Agreement

for the proposed works; the report authorisation will enable this process.

6.1.3 Legal advice should be sought on the terms and conditions of the Loan Agreement before the Council executes it. The Council must be aware and clear on the obligations it is agreeing to take on under the Loan Agreement and have plans in place to ensure that it can adhere to these.

6.1.4 Legal services should be instructed to review, advice and complete the Framework and Loan Agreement.

7. Risk Management

7.1 The risks associated with this programme of works are:

7.1.1 If energy saving measures don't have a payback period of 5 years or less, this will not be funded by Salix, consequently there will not be funding for works to proceed. To mitigate this risk, the tender will be restricted for the contractor to identify measures which comply with Salix conditions.

7.1.2 If the Salix loan is not secured, LBB will not proceed with works, consequently energy saving measures will not be realised. However, if this occurs, LBB will not have lost funds (i.e. no abortive works), and can withdraw from the process. To mitigate this, the Council will work closely with Salix to minimise this risk.

7.1.3 If retrofitted asset is disposed within 5 years of energy saving works, savings will not be realised. To mitigate this, the Council will ensure there are no short term disposal or development plans (beyond 5 years) for assets selected for retrofit works.

8. Equalities and Diversity

A neutral impact on equalities and diversity is anticipated from retrofitting assets in the borough so they are more energy efficient.

9. Consultation and Engagement

None relevant to this administrative process at this stage that is to be carried out by Council staff. Once appropriate assets are identified, users of the assets (including the public, staff, community groups etc) will be notified of any building works associated with the retrofitting measures. Retrofitting works will take service delivery into account to minimise any disruption to services.

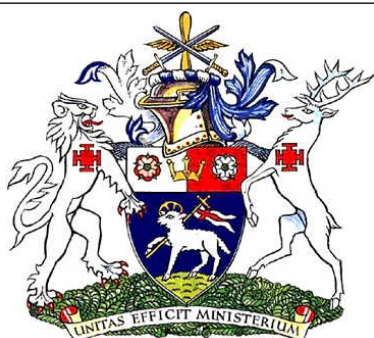
10. Insight

The GLA has reviewed the Council's assets in a desktop exercise to identify potential savings. This analysis will be used by the successful contractor to inform the selection of the asset and appropriate energy saving measure.

11. BACKGROUND PAPERS

None

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Policy and Resources Committee

11 June 2018

Title	Contract variations and extensions
Report of	Commercial Director
Wards	All
Status	Public
Urgent	Yes
Key	No
Enclosures	None
Officer Contact Details	Elaine Tuck, Strategic Lead Commercial. elaine.tuck@barnet.gov.uk

Summary

The Council has been supported on financial review work since January 2018 when the direct award of a contract was made compliantly through ESPO Framework 664-17 (Consultancy Services) to Grant Thornton. The contract was awarded for a value of up to £150,000 with an extension option until 30 April 2019. In February 2018 a contract was awarded through Local Government Resourcing Partnership (LGRP) Framework Lot 1 for Interims for a value of up to £181,000, also supporting financial review work. The LGRP framework is in place until 30 September 2019. Further work is now required to support the Council in ensuring robust financial controls are in place and value extension is required on both contracts, with an anticipated total value of up to £500,000 for each.

Officers Recommendations

1. To vary the direct award contract to Grant Thornton for financial review work up to 30 April 2019 with a value of up to £500,000.
2. To enable increased use of the LGRP framework for interim staff, varying the value up to £500,000 up to the end of the LGRP framework as allowed under the

1. WHY THIS REPORT IS NEEDED

- 1.1 Following a review of financial procedures and practices, the Council requires further financial consultancy services and interim resources. This requirement was not foreseen and work needs to take place swiftly.

2. REASONS FOR RECOMMENDATIONS

- 2.1 To provide additional ongoing review and monitoring of financial controls to provide assurance to the Council.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 The only alternative is to not enhance monitoring of financial controls. This would not provide the required assurance to the Council.

4. POST DECISION IMPLEMENTATION

- 4.1 To vary the direct award contract to Grant Thornton, as provided for in the contract, for financial review work up to 30 April 2019 with a value of up to £500,000.
- 4.2 To enable increased use of the LGRP framework for interim staff, varying the value to up to £500,000 up to the end of the LGRP framework as allowed under the framework.

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

- 5.1.1 The corporate plan includes a focus on ensuring 'services are delivered efficiently to get value for money for the taxpayer'. Financial review work supports this aim.

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

- 5.2.1 The ESPO Framework 664-17 and the LGRP Framework have been used with agreed day rates rather than contracting with the provider directly which would be more costly, thereby providing value for money.
- 5.2.2 Costs of up to £500,000 for each contract will initially be funded from the service development reserve.

5.3 Social Value

- 5.3.1 The Public Services (Social Value) Act 2012 requires people who commission public services to think about how they can also secure wider social, economic and environmental benefits. Before commencing a procurement process, commissioners should think about whether the services they are going to buy, or the way they are going to buy them, could secure these benefits for their area or stakeholders. This will be taken into consideration for the contracts and procurements referenced in this report.

5.4 Legal and Constitutional References

- 5.4.1 Under Article 10, Decision Making, Table B – authorisation and acceptance levels, a Thematic Committee report is required to extend or vary a contract between £181,301 and £500,000.
- 5.4.2 A compliant procurement has taken place with use of the ESPO Framework 664-17 (Consultancy Services) Lot 2c. A Direct Award from a framework is compliant with the Contract Procedure Rules. It is considered necessary and appropriate as:
- Grant Thornton have the requisite expertise;
 - Grant Thornton are the Council's previous auditors and have undertaken the review work and so can get up to speed more quickly, reducing the time taken to perform the work; and
 - using existing suppliers could result in a conflict of interest.
- 5.4.3 A compliant procurement has taken place with use of the Local Government Resourcing Partnership (LGRP) Framework Lot 1 for Interims to support the Competitive or Direct Award of contracts in a compliant manner.

5.5 Risk Management

- 5.5.1 The extension and variation of the two contracts reference in this report are necessary to support the management of financial risk.

5.6 Equalities and Diversity

- 5.6.1 Pursuant to the Equality Act 2010, the council and all other organisations exercising public functions on its behalf must have due regard to the need to eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act; advance equality of opportunity between those with a protected characteristic and those without; promote good relations between those with a protected characteristic and those without. The relevant protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation. It also covers marriage and civil partnership with regard to eliminating discrimination. All organisations that submit tenders for Council business are required to submit their Policy Statement regarding how they manage compliance with the Equality Act, or equivalent legislation.

5.7 Corporate Parenting

- 5.7.1 In line with Children and Social Work Act 2017, the council has a duty to consider Corporate Parenting Principles in decision making across the Council. There are no direct implications of this report on the Council's Corporate Parenting Responsibilities.

5.8 **Consultation and Engagement**

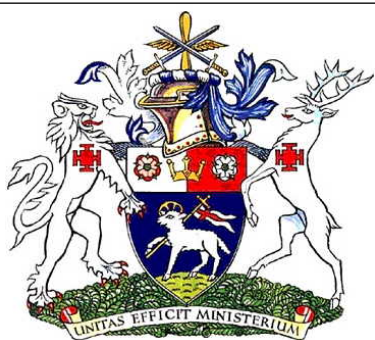
- 5.8.1 Consultation and engagement is undertaken as part of the commissioning cycle and will be undertaken on any new procurements as relevant to ensure that services being commissioned meet the needs of users and residents.

5.9 **Insight**

- 5.9.1 Data analysis and insight also forms part of the commissioning cycle and will be drawn on as needed in management on contracts and the procurement of any new services.

6. **BACKGROUND PAPERS**

- 6.1 None



Policy and Resources Committee

11 June 2018

Title	Emergency Planning
Report of	Councillor Richard Cornelius
Wards	All
Status	Public
Urgent	No
Key	No
Enclosures	N/A
Officer Contact Details	Jenny Obee, Head of Information Management Kate Solomon, Emergency Planning Manager

Summary

This report provides the Committee with an update on Emergency Planning arrangements within the council, including terrorist related activities and the move to critical protocols. There is also feedback on the actions taken in response to the Emergency Planning review of September 2017 and the recommendations of the recently completed Emergency Planning Audit of April 2018, which gave reasonable assurance.

Recommendations

1. That the Committee notes this report

1. WHY THIS REPORT IS NEEDED

- 1.1 At Community Leadership Committee on 22 November 2017, Members requested that further information on the results of the Emergency Planning

Review that was being carried out within the Council and further information on other emergency planning arrangements, such as those related to terrorism, be brought to a future meeting of the CLC.

- 1.2 As the terms of reference for Committees have recently been changed, responsibility for Emergency Planning now sits within the remit of Policy and Resources Committee. This report therefore provides the Policy and Resources Committee with this update. Members also requested a response from Chief Officers on actions being taken to ensure emergency vehicles can gain access to roads where this was identified as an issue. This matter has been referred to the Highways Commissioning team.

1.3 **Emergency Planning Overview**

- 1.4 Under the Civil Contingencies Act 2004, a local authority, as a Category 1 responder, has a statutory responsibility to provide and maintain robust and resilient contingency plans for the borough. Barnet therefore has an Emergency Planning Team (consisting of an Emergency Planning Manager and Emergency Planning Officer) who lead on Emergency Planning for the Council and act as secretariat for the statutory, multi-agency Borough Resilience Forum, the group through which this duty is discharged. Resilience partners include the Emergency Services, Public Health England, NHS England, The Environment Agency, utility companies, the voluntary sector, faith and community groups, other local authorities, London Resilience Group and central government who work together to prepare plans and procedures for responding to, dealing with and recovering from incidents or emergencies which could occur in Barnet or surrounding boroughs.

1.5 **Emergency Planning Review**

- 1.6 Following the Grenfell Tower fire and the Golders Green fire in Barnet, the council commissioned an independent review of its Emergency Planning service. This review aimed to assess the processes, procedures and policies in place within LBB's emergency planning team; to highlight areas of remediation, along with areas of best practice; and to assess the resource model in place within the areas of emergency planning and emergency response.
- 1.7 The objectives of the Emergency Planning Review were: a) to produce a gap analysis based on this assessment; b) to produce a review report based on the gap analysis, highlighting areas for remediation and those of best practice; and c) to produce a timeline for changes.
- 1.8 The review was facilitated by the Emergency Planning lead within another public-sector organisation. The review was a useful objective view of the council's approach to emergency planning. It found that, while there were some procedural points that required attention, overall the council is proactive in its preparedness for emergencies, with the majority of people having a good understanding of the organisation's arrangements and most feeling confident about their ability to perform their role.

1.9 A high-level summary of the EP Review is as follows:

- 1.9.1 Ensure contact details for emergency responders are kept up to date
- 1.9.2 Ensure emergency plans and local arrangements are up to date and in line with national and regional planning assumptions.
- 1.9.3 Have a communications plan, including specific arrangements for key council buildings in the event of a major incident resulting in evacuation or lockdown.
- 1.9.4 Further training and exercising for emergency response team and business continuity contacts.
- 1.9.5 Ensure continued resilience of emergency planning response team and adequate capabilities during local incidents.

1.10 **Emergency Planning Audit**

- 1.11 In addition to the EP Review, an internal Audit of Emergency Planning processes was commissioned in Q4 of 2017/18. The Audit was focused on the following review areas: Governance; Risk Assessment; Emergency Plans; Training and Exercising; and Strategic Planning for Emergency Planning.
- 1.12 A high level summary is as follows:
The Auditor, who returned an overall reasonable assurance rating for the Emergency Planning arrangements, identified 5 medium findings and 1 low risk finding which are currently being addressed by officers.
- 1.13 The Auditor recognised that the Emergency Planning team is currently staffed by two experienced Officers with extensive institutional knowledge of Emergency Planning and a strong network of knowledge and contacts across the Borough, North Central Boroughs, London Resilience and Regional Resilience partners, and, that a range of LBB specific plans, Multi-Agency Borough Resilience Plans and Pan-London plans are in place and a wide range of training and exercising activities taking place for Officers from across the Borough who have response roles during an incident.
- 1.14 However, the Auditor also identified that although there is considerable activity being carried out by the Emergency Planning team, how this activity is documented in formal procedures and reporting needs improvement. This current situation poses a challenge to those responsible for the overall management of Emergency Planning in tracking and directing activity at a tactical level within the Council.
- 1.15 In the wake of recent events in London, such as the Grenfell Tower fire and terrorist incidents, LBB is likely to see a rising expectation to be able to support and also receive Pan-London mutual aid for complex and prolonged incidents.
- 1.16 All London Boroughs including Barnet, who responded to the request for mutual aid, have participated in and responded to the London Resilience Grenfell debrief process. However, due to the ongoing nature of the inquest no formal identification of lessons has been produced for the Grenfell incident.

- 1.17 In October 2016 the Local Authorities' Panel (LAP) published their 'Recommendations for Local Government Emergency Planning and Resilience for the 2020's' commonly referred to as EP2020. This report aimed to strengthen collaborative working between London boroughs and the outputs of this are already being implemented by Emergency Planning Teams across London. Standardisation guidance from the LAP is currently in the process of being ratified and going live. It is expected to be rolled out across London during the next year.
- 1.18 This has meant that any widespread review and updating of Emergency Plans, procedures and arrangements has not yet been possible or practical. The Emergency Planning team were fully involved in the validation and testing of the guidance in April and were able to feed into the process prior to ratification of the EP2020 guidelines.
- 1.19 The Auditor noted that the Corporate Communications Planning Strategy 2017 clearly documents the Communication team's communication processes which sets out the roles and responsibilities for different services / teams and identifies contact names against roles. These roles are consistent with the roles documented in other Emergency Plans.
- 1.20 In addition, the Auditor found a Community Risk Register is held by the Borough Resilience Forum which details the identified hazards within the Borough and an assessment of the implications. The National and London Risk Registers have recently been updated into a new format.
- 1.21 The Borough Risk Register is reviewed annually by key Category 1 partners within the BRF. The updated register of local risks takes a more impact related approach in line with the recently reviewed National and Regional Risk Registers. For example, rather than assessing the risk of a building collapse within a Barnet High Street, the outcome descriptor now describes the impact on Barnet residents, businesses and communities.
- 1.22 An updated Borough Risk Register is currently being produced by the LBB Emergency Planning team, which will be circulated to the key resilience partners to agree and sign off will be agreed at the next BRF meeting in July 2018.
- 1.23 **Terrorist Incidents – planning, preparing and responding**
- 1.24 The UK faces a variety of terrorist threats. These are classed into three distinct groups: International Terrorism, Northern Ireland Related Terrorism (NIRT) and Domestic Extremism
- 1.25 Due to the wide range of scenarios which could be now be considered terrorist incidents and which may result in an increase in threat level, it is

impossible to produce a definitive planning assumption. It is however reasonable to suggest that the local authority business continuity response and support to the community and partners will need to be sufficiently scalable and flexible to ensure critical services and support to the community, businesses and partners can be sustained for some days.

1.26 UK Threat Levels – Move to Critical

- 1.27 In the document 'Move to Critical - Guidance for Local Authority Chief Executives' produced in March 2017, it is recognised that a move to critical and the anticipated impacts on local authority services' and the communities they serve, are best addressed through good planning and robust business continuity arrangements.
- 1.28 Move to Critical preparations are essential actions required to ensure we, as a borough, are prepared for an increase in the current UK threat level from Severe to Critical. The decision to increase the UK threat level from Severe to Critical occurred twice in 2017 in response to two terrorist incidents.
- 1.29 The council was able to respond robustly to protect our staff, residents and communities on both these occasions.
- 1.30 The guidance offers a sense of what a 'Move to Critical' would actually entail for London and local authorities and poses a range of practical questions against which to measure preparedness and ensure appropriate actions are put in place. These have been augmented by recommendations specifically for Barnet which are the result of our ongoing Prepare and Protect work under the Government's Contest agenda.
- 1.31 In a report prepared by the EP Manager in April 2017, SCB were requested to consider questions posed by the 'Move to Critical' paper along with providing support for specific recommendations for both Barnet staff and those of our partner organisations.
- 1.32 These included supporting continuous improvements in the physical security of our sites and buildings, such as all staff wearing visible photo ID at all times in all LBB buildings and ensuring our larger vehicles, refuse and recycling trucks, vans and minibuses are well secured at all times, to prevent the possibility of them being used in terrorist related incidents.
- 1.33 To support a range of ongoing staff and partner communications within the council to continue to raise awareness of current threats including remaining vigilant to prevent possible hostile reconnaissance in our buildings.

- 1.34 To support the implementation of the NaCTSO (National Counter Terrorism Security Office) 'Run, Hide, Tell' guidance which has now been rolled out to staff and some Members.
- 1.35 To encourage sign up to the regular Cross Sector Security Communication (CSSC) briefing through already existing communication networks with our local small to medium businesses. This useful briefing includes advice and information for businesses to raise awareness of current threats and how to prepare for, respond to and recover from possible terrorist incidents and ensure robust BC arrangements are in place.
- 1.36 Like all local authorities Barnet has robust business continuity plans, including specific arrangements for terrorist incidents and circumstances when the UK threat level is raised to Critical. These were created and are reviewed based on the guidance contained in the document 'Move to Critical - Guidance for Local Authority Chief Executives' to ensure our arrangements are able to withstand the likely pressures experienced simultaneously across multiple service areas and for an extended period.
- 1.37 A move to 'Critical', in Government security terms, could result in the invocation of LBB Business Continuity plans should Government security plans affect travel and/or working arrangements. This will impact critical services across the council and its partners and robust arrangements are in place to ensure these services are maintained.
- 1.38 **UK threat levels**
- 1.39 The Threat Level from International Terrorism and NIRT are categorised using the scale below:

CRITICAL	AN ATTACK IS EXPECTED IMMINENTLY
SEVERE	AN ATTACK IS HIGHLY LIKELY
SUBSTANTIAL	AN ATTACK IS A STRONG POSSIBILITY
MODERATE	AN ATTACK IS POSSIBLE BUT NOT LIKELY
LOW	AN ATTACK IS UNLIKELY

2. REASONS FOR RECOMMENDATIONS

- 2.1 It is recommended that the Committee note this paper, raising any comments or concerns as required.

3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 No alternative options were considered.

4. POST DECISION IMPLEMENTATION

- 4.1 The work of the Emergency Planning Team will continue, including continuing to implement the recommendations of the Emergency Planning Review and Internal Audit.

5. IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

- 5.1.1 The work outlined in this report contributes to the 2020 vision outlined in the Corporate Plan 2015-2020 to gain more involved and resilient communities.

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

- 5.2.1 There are no financial, procurement, staffing, IT, property or sustainability implications of this report.

5.3 Social Value

- 5.3.1 There are no social value considerations as this paper does not relate to a service contract.

5.4 Legal and Constitutional References

- 5.4.1 Under the Civil Contingencies Act 2004, the council has a statutory duty to maintain arrangements to warn the public, and to provide information and advice to the public, if an emergency is likely to occur or has occurred.
- 5.4.2 Under the Council's Constitution (Article 7 – 'Committees, Forums, Working Groups and Partnerships', Section 7.5 Responsibility for Functions) the responsibilities of the Policy and Resources Committee include 'Emergency Planning'.

5.5 Risk Management

- 5.5.1 The Council has strategic and operational risks associated with Emergency Planning. However, there are no risks associated with the recommendations of this report.

5.6 Equalities and Diversity

- 5.6.1 No negative differential impact on people with any characteristic protected under the Equality Act 2010 has been identified in relation to this report.

5.7 Consultation and Engagement


- 5.7.1 No consultation or engagement activities are planned as a result of this report.

5.8 Insight

- 5.8.1 No insight data has been used to inform this report.

6. BACKGROUND PAPERS

- 6.1 [Community Leadership Committee, 22 November 2017, 'Emergency Planning Review'](#)
- 6.2 [Community Leadership Committee, 9 March 2016, 'Building Community Resilience for Emergencies'](#)

	<p style="text-align: right;">AGENDA ITEM 16</p> <p style="text-align: center;">Policy and Resources Committee</p> <p style="text-align: center;">11 June 2018</p>
Title	End of Year 2017/18 Performance Monitoring Report
Report of	Commercial Director and Director of Finance
Wards	All
Status	Public
Urgent	No
Key	No
Enclosures	Appendix A: Corporate risk register
Officer Contact Details	Alaine Clarke, Head of Performance and Risk alaine.clarke@barnet.gov.uk Gillian Clelland, Assistant Director of Finance (CSG) gillian.clelland@barnet.gov.uk

Summary

The report provides an **annual overview** of performance at the **End of Year (EOY) 2017/18**, including budget outturns for revenue and capital, progress on key activities, indicators that have not met the annual target and management of high level risks; along with information on staffing and customer service. The report is structured into two parts: Part A: Overall performance (Corporate Plan); and Part B: Performance by Theme Committee (Commissioning Plans).

Recommendations

1. The Committee is asked to scrutinise the overall annual performance of the council, in relation to the Corporate Plan and Theme Committee Commissioning Plans.
2. The Committee is asked to note the 2017/18 revenue position, as detailed in paragraphs A.6-A.7 and in Appendix B.
3. The Committee is asked to note the additions and deletions (which include virements) and accelerations and slippages in the capital programme, as detailed in paragraphs A.8-A.9 and in Appendix C.
4. The Committee is asked to note the savings delivered in 2017/18, as detailed in paragraph A.10.

Recommendations

5. The Committee is asked to note the agency costs for 2017/18, as detailed in paragraph A.11.
6. The Committee is asked to note the strategic risks, as detailed in paragraph A.18, and the corporate risk register, which includes high level service/joint risks in Appendix A.

PART A: OVERALL PERFORMANCE (CORPORATE PLAN)

- A.1 This report provides an **annual overview** of the council's performance and financial position, including progress on the 'top 15' key activities in the Corporate Plan. A summary of progress on these key activities is set out by Theme Committee below. The full progress updates can be found in **Part B: Performance by Theme Committee**.

Children, Education and Safeguarding Committee

- **Children's Services Improvement Plan** - Ofsted inspected the council's services for children in need of help and protection and children looked after between 25 April and 18 May 2017, the Barnet Safeguarding Children Board (BSCB) was also inspected. The full Ofsted Inspection Report was published on 7 July 2017; Ofsted gave Barnet Children's Services an overall judgement of 'Inadequate'; the BSCB was also judged to be 'Inadequate'. In response to the recommendations and areas for improvement identified by Ofsted, the Barnet Children Services Improvement Action Plan was developed and implemented. The Department for Education (DfE) confirmed on 31 October 2017 that 'the plan satisfactorily reflects the recommendations and priorities of the inspection report'.

Progress against the Ofsted Improvement Action Plan is reported to members via the Children, Education and Safeguarding Committee bi-monthly. All reports taken to committee since the Single Inspection can be found online at <https://barnet.moderngov.co.uk/ieListMeetings.aspx?Committeeld=697>.

Since the publication of the Ofsted report in July 2017, inspectors have since returned to undertake three monitoring visits. Following each visit, inspectors have confirmed that the pace of change within Barnet has been remained proportionate. In the most recent visit, inspectors noted that there was continued progress and consolidation of recent improvements seen in the first monitoring visit; they reported that senior leaders and managers are appropriately focused on embedding the cultural change required to improve and embed good social work practice.

The pace of change within Barnet has remained consistent and focused, with inspectors noting that it is beginning to raise practice standards. It has been recognised however, that senior leaders are aware that there are still areas of challenge before practice is of an overall good standard. See paragraph B.16 for more information.

- **Tackling gang activity** – the REACH (Resilient, Engaged, Achieving Children) team was formed in 2017/18 to work with young people to reduce their risk of, and vulnerability to, engaging in gangs, serious youth violence, child sexual exploitation, missing episodes and related vulnerabilities. The team is now embedded into standard practice, as part of the Intervention and Planning service. The service works closely with the Targeted Youth Service who lead on gang prevention and positive activities for young people, alongside the Voluntary and Community Sector. Met Police figures

on knife injury victims under 25 years old showed a slight reduction of 2.1 per cent (47 from 48 last year)¹. However, young people from Barnet were involved in knife crime outside the borough. REACH is building pathways to facilitate 'step-down' support for young people who reach 18 years and can no longer be supported by REACH. See paragraph B.16 for more information.

Adults and Safeguarding Committee

- **Embedding strength-based practice** – the strength-based practice model was implemented as the core practice model across all social work and occupational therapy teams in the Adults and Communities Delivery Unit. With strength-based practice embedded, the focus has been on measuring the impact and continuous improvement of the model through key indicators such as reductions in residential admissions and case studies. The service recently showcased the Barnet strength-based model at a good practice event in Hampshire and regularly responds to requests from other councils for information on the approach. As part of the strength-based model, a new mental health social work structure was introduced, which brought mental health social workers back under council line management from the NHS and expanded the enablement and recovery model based in the Network mental health enablement service. As a result, referrals to the Network increased by 30 per cent and were effectively managed with a 10 per cent reduction in staffing costs in mental health overall. Mental health delayed transfers of care reduced. More mental health users have been using telecare and peer workers (people with lived experience) have been employed by the council in the Network service. See paragraph B.6 for more information.
- **Integrating local health and social care** - the council jointly leads the Care Closer to Home programme with NHS Barnet CCG. The programme aims to increase the levels of care provided through GP practices and, through this, prevent crises and admissions to hospital and delay the escalation of care needs. As part of the programme Care Closer to Home Integrated Networks (CHINs) have been introduced across the borough. These include extended hours GP appointments; groups of GP practices working together; and over time it is envisaged they will include community health services. CHINs will have links and referral routes to council services. The first CHIN (Burnt Oak) went live in February 2018, focusing on diabetes; with the second (Oakleigh and East Barnet) focusing on frailty in the elderly; and subsequent CHINs, focusing on paediatrics, due to go live in April and June 2018. Plans for full borough coverage of CHINs are being developed and will be presented to the Health and Wellbeing Board in July 2018. See paragraph B.6 for more information.

Assets, Regeneration and Growth Committee

- **Regenerating Brent Cross Cricklewood** - in **Brent Cross North**, the application by Hammerson Standard Life (HSL) for the shopping centre expansion was approved at Planning Committee in October 2017 and seasonal works such as tree felling and vegetation clearance began in November 2017. HSL reported a delay to the start of the early and main works due in part to the challenge on the CPO1 and CPO2 decisions (a decision will be made by the High Court in July 2018). As a result, the overall scheme has been delayed by six months until January 2019. In **Brent Cross South**, the Reserved Matters Application for Plot 12 was submitted in October 2017 and the Phase 1BS application was approved by Planning Committee in February 2018. A temporary open space application was made to ensure an acceptable amount of open space is maintained during the development while work is taking place to

¹ Source: Met Police, 47 (April 2017 to March 2018) and 48 (April 2016 to March 2017)

improve existing green areas. In **Brent Cross Thameslink**, the planning application for the rail freight facility was approved in February 2018, whilst the planning application for the waste transfer station was deferred until July 2018. Work is underway with Network Rail to mitigate impacts from Carillion. Discussions with Network Rail to sign the Asset Protection Agreement are nearing completion. See paragraph B.22 for more information.

- **Regenerating Colindale** - the Colindale programme continued to take shape with resources agreed to project manage a range of activities from public parks, public realm, highway improvement proposals and a proposed initiative to improve accessibility at Colindale Station. Subsequent to approval of the application for Montrose and Silkstream parks improvements in the autumn 2017, work has progressed on the Youthzone project and various funding applications have been made. Transport for London (TfL) approved in principle the new tube station and over station development in January 2018. The Liveable Neighbourhood Bid for Colindale Avenue was re-submitted. Consultation was carried out with key stakeholders on the Controlled Parking Zones (CPZ) required as part of the council office development, which led to minor changes. This was presented to Hendon Area Committee in February 2018. Secure tenants from the Grahame Park Concourse moved into Plot 6 social rented properties. The Mayor of London refused the planning application for Plots 10, 11 and 12, delaying the whole scheme. New designs are being drawn up for Plots 10, 11, 12, 13, 14 and 15. Following the Mayor's direction, the council issued a refusal notice paving the way for Genesis to submit an appeal to the Secretary of State. See paragraph B.22 for more information.
- **Delivering the Development Pipeline** – completion of the 53-unit extra care scheme at Moreton Close has been delayed until December 2018 due to the foundations of the scheme being under-engineered. The Full Business Case for the 50-unit extra care scheme at Stag House was approved in March 2018. The vacant possession of the ground floor commercial property is subject to a court hearing in June 2018. A 75-unit extra care scheme is planned as part of the development of Cheshir House. The Business Case for the Microsites programme, delivering affordable and specialist housing on smaller scale infill sites across the borough, was approved. Phase 1 will deliver 10 affordable rented homes across four sites, including eight wheelchair accessible bungalows.

Tranche 1 (mixed tenure schemes) sought to deliver 289 new homes of mixed tenure. Planning consent was obtained for the bulk of the new homes in June 2015 with Moxon Street following in November 2016. However, a pre-contract services agreement with Wates concluded in September 2016 when the council opted not to proceed with Wates as the construction contractor. Discussions are continuing with Re in respect of the commercial implications of this decision; and a report on the way forward will be submitted to ARG Committee. For Tranche 3 (affordable housing on infill sites), the timely transfer of land to Open Door Homes has been a challenge, delaying progress and resulting in financial costs to the council and The Barnet Group (TBG). See paragraph B.22 for more information.

- **Helping people into work** – Barnet is part of the West London Alliance (WLA), which is leading on sub-regional work on employment and skills. The WLA Skills, Employment and Productivity Strategy was agreed at the Economic Prosperity Board in February 2018. The devolved Work and Health programme was implemented, with Groundwork as the provider in Barnet.

Work to support the roll out of the apprenticeship levy continues. The council has taken on 14 apprentices (against a target of 44). Barnet's community schools have taken on 10 apprentices and Re has taken on 49 apprentices with developers on Barnet's regeneration sites. This has been the first year of the new national apprenticeship framework and while progress has been made, the council is dependent on new apprenticeship standards being developed that are suitable and appropriate to the types of roles and work undertaken by a local authority.

A range of employment projects are available to local residents, including the BOOST Projects, Skills Escalator, Mental Health and Employment trailblazer and the Work and Health Programme. The BOOST projects engaged 750 people this year and supported over 180 into work. See paragraph B.22 for more information.

- **Improving planning and enforcement** – the planning service is in the top 10 nationally for both application numbers and planning enforcement activity. The service was shortlisted for 'Team of the Year' in the 2018 Local Government Chronicle Awards demonstrating that improvements have been sustained. The 20 per cent planning fee increase, which came into effect in January 2018, will be used to fund service improvements. See paragraph B.22 for more information

Housing Committee

- **Building compliance and fire safety** – the Housing Committee approved £17.5m of additional fire safety works to 26 high rise blocks of flats within the borough in October 2017. This included works on the Whitefield Estate (replacement of doors to communal areas and upgrading of rubbish chutes) and Grahame Park Estate (works to ceilings), as well as the replacement of cladding on three blocks at Granville Road (which are due to be installed in May 2018). All works are due to be completed by September 2019. See paragraph B.29 for more information.

Environment Committee

- **Modernising environmental services** - the modernisation of Street Scene services has been supported by a series of transformation projects, focused on a new service offer for street cleansing, increased income via commercial recycling services and in waste collection by a trial of time-banded collections, and environmental enforcement and education. A service-wide restructure took place to facilitate the rationalisation of staffing structures and service operations; and appointments were made to Assistant Director, Head of Service and Managerial posts. See paragraph B.36 for more information.
- **Delivering highways improvements** –substantial volumes of work were completed for Year 3 (2017/18) of the Network Recovery Programme (NRP), including footway and carriageway re-surfacing at a cost of c.£7m. Year 4 (2018/19) of the NRP was approved by Environment Committee in March 2018 for £7.2m. The Proactive Patching programme covered 10,261 square metres (149 roads), repairing 872 potholes and surface defects at a cost of c.£350k before they worsened and presented a greater risk to Highway users. In July 2017, Category 1 and 2 responsive repairs were transferred from the Direct Labour Organisation (DLO) to Conway Aecom. IT and resource issues impacted on performance throughout the year; of which some issues remain unresolved. The council is finalising an action plan with the contractor to ensure all known issues are captured and resolutions are agreed going forward. See paragraph B.36 for more information.

Community Leadership and Libraries Committee

- **Supporting those with multiple needs (domestic violence, mental health, and substance misuse)** - the Safer Communities Partnership Board has been implementing the 2017-2020 Violence Against Women and Girls (VAWG) strategy and action plan. As part of the work to prevent violence against women and girls, during the last 12 months, 220 Domestic Abuse² cases were assessed at the multi-agency Domestic Violence MARAC group and intervention plans put in place. In addition, the partnership has been working to hold perpetrators to account. During the same period, over 300 perpetrators were arrested and charged for Domestic Abuse offences. See paragraph B.40 for more information.

Central Services

- **Implementing The Way We Work programme** - this programme focuses on preparing the council's workforce for the office move to Colindale, including ensuring staff have the right tools to be able to work from any location across the borough; and delivering the accommodation and travel arrangements that will enable staff to work effectively. The office move has been re-scheduled for January to March 2019 to allow enough time for construction and fit-out of the building. Office 2016 and Skype for Business have been installed for approximately 1,400 staff and Skype telephony training rolled-out. See paragraph A.14 for more information
- **Continuing to improve customer services** – the council is moving to a digital by default approach, which aims to get the majority of customer contact online. The new MyAccount service has been launched, helping to increase website visits by 12 per cent (818,947) from last year (731,448). Webforms also increased by 37 per cent (17,943 from 13,113); whilst volumes using traditional channels (telephony, face-to-face and email) fell from last year. Overall satisfaction with customer services achieved 91 per cent for the year, whilst issues with the website resulted in satisfaction falling below target to 48 per cent for the year (36 per cent in Q4 2017/18). See paragraphs A.14-A.15 for more information.
- As noted in the CAFT Annual Report 2017/18 to Audit Committee on 19 April 2018, there is an ongoing financial fraud investigation. Due to the ongoing nature of this investigation, this was reported to the Audit Committee members separately and in exempt session, in accordance with Sections 100A-H and Schedule 12A Local Government Act 1972. Once the investigation is concluded and the information is in the public domain it will be reported within the main body of relevant Committee reports.

Corporate Plan indicators

- A.2 The EOY 2017/18 position for the basket of indicators in the Corporate Plan has been set out in table 1 below. This shows that the majority of indicators (66%) have met the annual target; and most (70%) have improved or stayed the same since last year.

² The term 'Domestic Violence' has been broadened to 'Domestic Abuse' and now includes emotional and coercive control, which is not always violent.

Table 1: Corporate Plan indicators (CPIs) (EOY 2017/18)

	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened	Monitor only	No. of indicators
All CPIs	66% (31)	19% (9)	2% (1)	13% (6)	70% (37)	30% (16)	14	61

A.3 Four indicators in the Corporate Plan for Central Services have not met the annual target³.

- **CG/S14 Percentage of residents who are satisfied with the way the council runs things (RAG rated RED)** - 65% against annual target of 74%. This was an autumn 2017 survey indicator reported in Q3 2017/18. Satisfaction fell from autumn 2016 (71%). Previously, Barnet had been above the LGA national and London averages, but this decrease brought Barnet in line with these benchmarks. Satisfaction with local authorities had been declining nationally and research had shown a direct correlation between this and the effects of austerity on local services.
- **CG/S19 Percentage of residents who report that it is easy to access council services (RAG rated RED AMBER)** – 60% against annual target of 70%. This was a spring 2017 survey indicator reported in Q1 2017/8. Whilst satisfaction with customer services improved; resident satisfaction with accessing council services decreased from spring 2016 (66%).
- **CG/C34 Percentage of residents who agree that Barnet is a family-friendly place to live (RAG rated RED)** - 75% against annual target of 87%. This was an autumn 2017 survey indicator reported in Q3 2017/18. Families with children were most positive about Barnet being a family-friendly place to live; whilst older people were less positive (bringing the overall result down). This was in line with autumn 2016 when the question was first asked. The council has continued to prioritise services such as education, parks and open services to ensure Barnet remains a popular place to live for families.
- **CG/S25 - Satisfaction with the council's website (RAG rated GREEN AMBER)** – 48% against annual target of 55%. Satisfaction with the website fell below target last quarter due to issues with the launch of My Account and inaccurate bin collection dates, which prompted higher negative ratings. It was also identified that earlier GovMetric satisfaction scores had been inflated. See paragraphs A.14 to A.15 for more information.

A.4 All other Corporate Plan indicators, along with any Commissioning Plan indicators that have not met the annual target, are captured in **Part B: Performance by Theme Committee**.

A.5 The annual results for all Corporate Plan and Commissioning Plan indicators are published on the Open Barnet portal at <https://open.barnet.gov.uk/dataset>

³ The Residents' Perception Survey (RPS) is a representative survey of Barnet residents aged 18 and over. 501 residents were interviewed by telephone in autumn 2017 (between 10 October and 13 November 2017). There is a +/-4.4%pts tolerance on the results due to the confidence interval for the sample size (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). This is reflected in the RAG rating and DOT for the indicators in the Corporate Plan and Commissioning Plans. National and London averages are from the LGA public poll on resident satisfaction (June 2017) – a representative random sample of 1,002 British adults (aged 18 or over) interviewed by telephone between 22 and 25 June 2017.

Central Services

Corporate Plan Indicators ⁴									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	CG/S22	Council Tax collection (Not in-year)	Bigger is Better	Apr 2017 - Mar 2018	98.5%	98.6% (G)	98.5%	▲ Improving	Outer London 97.0% (2016/17, DCLG)
CPI	CG/S23	Business rate collection (Not in-year)	Bigger is Better	Apr 2017 - Mar 2018	99.0%	99.4% (G)	99.1%	▲ Improving	Outer London 98.6% (2016/17, DCLG)
CPI	CG/S14 (RPS - Biannual)	Percentage of residents who are satisfied with the way the council runs things ⁵	Bigger is Better	Autumn 2017	74%	65% (Autumn 2017) (R)	71% (Autumn 2016)	▼ Worsening	London 63% (2016/17, LGA) National 66% (June 2017, LGA)
CPI	CG/S19 (RPS - Annual)	Percentage of residents who report that it is easy to access council services ⁵	Bigger is Better	Spring 2017	70%	60% (Spring 2017) (RA)	66% (Spring 2016)	▼ Worsening	No benchmark available
CPI	CG/C34 (RPS - Biannual)	Percentage of residents who agree that Barnet is a family-friendly place to live ⁵	Bigger is Better	Autumn 2017	87%	75% (Autumn 2017) (R)	78% (Autumn 2016)	↔ Same	No benchmark available
CPI	CG/S24	Overall satisfaction with customer services	Bigger is Better	Apr 2017 - Mar 2018	89%	91% (G)	91%	↔ Same	No benchmark available
CPI	CG/S25	Satisfaction with the council's website	Bigger is Better	Apr 2017 - Mar 2018	55%	48% (GA)	55%	▼ Worsening	No benchmark available

⁴ The Monitor indicators have been included for information.

⁵ There is a +/-4.4%pts tolerance on the results due to the confidence interval for the sample size (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). This is reflected in the RAG rating and DOT for the indicators in the Corporate Plan and Commissioning Plans.

OVERVIEW OF BUDGET AND STAFFING

A.6 The General Fund **revenue outturn** was £290.674m, which was an overspend of £13.479m (4.9%) compared with the revised budget of £277.195m. See table 2 below. The outturn is stated before the net drawdown from specific and general earmarked reserves totalling £5.5946m. Including net drawdowns from reserves, the outturn is £285.080m, which is an adverse variance of £7.885m (2.8%) compared with the revised budget of £277.195m.

All proposed reserve drawdowns and contributions were approved by the Director of Finance as part of the year-end closure processes. It is important to note that these reserve movements are over and above the planned use of £7.669m of reserves approved by the Council in April 2017 to achieve a balanced budget.

The original budget approved by Council in March of each year is revised during the year to reflect virements between budgets and the allocation of contingency held within central expenses. All virements from contingency above £0.250m are approved by the Policy and Resources Committee. Significant allocations from contingency during 2017/18 included:

- £5.430m allocated to Family Services to fund the increased cost of packages due to complexity of cases, increases in numbers of children in care, investment associated with Tranche 1 and 2 of 0-25 service and investment associated with improvement in practice
- An ongoing allocation of £1.300m to Housing Needs and Resources in recognition of the sustained increase in the cost of temporary accommodation.

Table 2: General Fund revenue outturn (2017/18)

Service	Original Budget £000	Revised Budget £000	Outturn £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move- ments £000	Variance after Reserve Move- ments Adv/(fav) £000	Variance after Reserve Move- ments Adv/(fav) %
Adults and Communities	87,145	87,177	90,101	2,924	(1,717)	1,207	1.4
Assurance	5,859	6,089	6,803	714	(76)	638	10.5
Central Expenses	52,723	41,421	37,264	(4,157)	1,189	(2,968)	(7.2)
Commissioning Group	33,834	34,479	32,665	(1,814)	675	(1,139)	(3.3)
CSG and Council Managed Budgets	21,161	21,833	27,285	5,452	(2,635)	2,817	12.9
Education and Skills	6,525	6,718	6,584	(134)	84	(50)	(0.7)

Service	Original Budget £000	Revised Budget £000	Outturn £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move- ments £000	Variance after Reserve Move- ments Adv/(fav) £000	Variance after Reserve Move- ments Adv/(fav) %
Family Services ⁶	52,445	58,504	60,985	2,481	(43)	2,438	4.2
Housing Needs and Resources (Barnet Homes)	5,560	6,859	7,763	904	(16)	888	12.9
Re	(824)	321	7,021	6,700	(2,746)	3,954	1,231.8
Street Scene	12,881	13,794	14,203	409	(309)	100	0.7
Total	277,309	277,195	290,674	13,479	(5,594)	7,885	2.8

A.7 The main reasons for the projected overspend are set out below.

- The revenue budget for **Adults and Communities** overspent by £2.924m but this was reduced to £1.207m following the drawdown from reserves, predominantly driven by an overspend of £3m in the care placements budgets.

Adult Social Care (ASC) has experienced increasing complexity and demand for services since 2014/15. The learning disability budgets have been experiencing pressure as a result of the transforming care (Winterbourne) agenda. The outturn includes c£0.275m spend on three supported living placements where responsibility for individuals has been transferred from the NHS to local authorities but funding to cover all of the cost has not. The average weekly cost for LD Supported Living increased by 18 per cent from 2016/17.

The overspend also includes expenditure relating to backdated claims for Ordinary Residence that have been lost. This resulted in a one-off impact on the 2017/18 outturn of £0.479m and an ongoing budget pressure of £0.116m.

In terms of ongoing commitments, there is also significant pressure resulting from homecare, equipment and nursing care placements. The council has been working hard to support local NHS partners to cope with the pressures on the health system and reduce delayed discharges of care. The growing demand from health led to an increase of 7 per cent in commissioned homecare hours (£0.933m) compared with 2016/17. The increase in homecare activity was also compounded by an 8 per cent average increase in contractual rates (£1.066m) as a result of inflation and changes in market conditions. This increase followed a period of suppressed inflationary increases and contributes to stabilising the care market. The weekly cost of Nursing Care in Older Adults increased by 6 per cent in 2017/18, with new clients costing

⁶ This includes Family Services and Libraries. Later in the report the libraries budget is presented separately in line with the new Theme Committee remits.

£144 per week above the council's minimum sustainable price given market pressures and additional complexity of need.

Non-placements budgets underspent by £1.3m, which offsets some of the pressures against the placements budgets. The underspends in this area are from in-year vacancies, one-off savings and additional income identified.

Community equipment costs have increased by £1m predominantly on items funded by the CCG. Equipment costs capitalised via the Disabled Facilities Grant (DFG) budget (£0.483m) resulted in a £0.3m underspend. The Deprivation of Liberty Safeguards (DOLS) service continues to be a significant cost pressure (£0.145m) in 2017/18 as a result of Supreme Court judgements in 2014/15 and a loss of grant funding since 2015/16.

- **Assurance** was overspent in 2017/18 by £0.638m (10.5%). This relates to instructions to HB Law and therefore activity and disbursements being greater than the budgeted level. For example, there was a 42 per cent increase in instructions for children's cases; 200 more instructions in relation to regeneration housing cases; and HB Law where instructed on a large public inquiry in 2017/18.
- The underspend for **Central Expenses** in 2017/18 was £2.968m, which represents 7.2% of the budget. The underspend is mainly due to the cost of financing the borrowing related to the Capital Programme (£3.700m). This is due to slippage on the anticipated profiling of capital expenditure and as such, is not expected to be a recurrent underspend. This is offset by a one off overspend on Insurance of £0.702m which has been caused by a requirement to increase the value of the insurance provision.
- The underspend for the **Commissioning Group**, which includes elements of environment, parking and infrastructure, was £1.139m after contributing a net £0.675m to reserves. There were three significant variances in this area, firstly the Public Health budget delivered an underspend of £1.754m. In line with the ringfenced grant arrangements this has been transferred to the Public Health reserve. The second major variance relates to the Resources section. One off hypothecated funding for the One Public Estate was received and this has been transferred to a ring-fenced reserve. Additionally, funding from Housing Benefit overpayment recovery within the Resources section has been transferred to fund the council's portion of associated LA error costs. The other major variance within the Commissioning Group is the NLWA Waste Levy underspend of £0.876m. This is a one off variance and primarily relates to the waste authority utilising their balances to keep levy levels low. There are a series of variances below £0.250m relating to staff costs in a number of areas, including one off redundancy costs, and the income budget for the registrar service was not achieved.
- The overspend for **CSG and Council Managed Budgets** before drawdowns from reserves was £5.452m, which represents 25.0% of the total Delivery Unit budget (£21.833m).

The Estates Managed Budgets have had significant challenges to manage during the year which has resulted in an overspend of £2.550m. Additional costs have been incurred as a result of additional security requirements and management of

operational, void and/or vulnerable sites totalling £0.776m. The relocation of Street Scene and Greenspaces services that were historically accommodated at the Mill Hill Depot has created an adverse budget variance of £0.757m which forms an ongoing budget pressure. The outturn includes an overspend of £0.680m due to the unbudgeted costs of leasing Building 4 at NLBP following an inability to relocate the services contained within when the original lease expired. The Estates service's responsibilities include the management of building compliance of the entire council maintained asset portfolio and the cost of managing and maintaining void buildings. The budget level has remained unchanged whilst the portfolio of buildings managed by the service has increased from 5 to approximately 95. Operationally, this provides much more assurance that statutory building compliance is being managed appropriately, however has resulted in an overspend of £0.390m. Other miscellaneous variances total an underspend of £0.053m.

There was an overspend in 2017/18 on the CSG management fee of £0.037m, mainly due to approved change requests. Procurement and Collection Fund gainshare payments totalled £2.428m. Procurement savings generate benefit across the Council, however the gainshare payments are paid for centrally. This was offset by a rebate from Comensura and administration charges to other services, totalling £2.178m. The net overspend was £0.250m.

Income levels were below the budget due to a shortfall in schools traded income of £0.704m and in print / photocopying recharges of £0.432m. The corporate programmes budget is based on historical levels of recharge and does not reflect the current service delivery arrangement leading to an overspend of £0.467m. These income targets have been identified as structurally unachievable and will be reviewed as part of the MTFs programme during 2018/19. The use of reserves was approved during 2017/18 to fund non-recurrent elements of expenditure. The net overspend for CSG and Council Managed Budgets after reserve drawdowns was £2.817m which represents 12.9% of the total Delivery Unit budget.

- The final revenue outturn for **Education and Skills** was broadly in line with budget.
- The overspend of £2.438m for **Family Services** represents 4.2% of the total Delivery Unit budget (£58.504m). This represents an increase of £2.161m from Q3 2017/18 relating to expenditure on placements and employee costs. There was a £2.300m overspend relating to external high cost specialist placements and associated services and the additional directed requirement for two assistant heads of service, three duty assessment team managers and eight duty assessment team social workers resulted in a £0.400m pressure. The ongoing improvement programme will continue to place pressure on existing resources. These pressures were offset by additional one-off grant funding (£0.416m) and realignment of the additional budget allocated by Policy and Resources Committee in June 2017 to high cost placements (£1.200m).
- The overspend of £0.888m for **Housing Needs and Resources** represents 12.9% of the total Delivery Unit budget (£6.859m). The overspend reflects the ongoing cost pressures associated with the rising cost of temporary accommodation in the borough set against restrictions on rents that can be charged and remain eligible for housing benefit. Actions have been taken to mitigate this pressure, including purchasing homes on the open market as a cheaper alternative to existing temporary

accommodation options, an increase in homelessness preventions and a focus on reducing the use of temporary accommodation. This overspend is after a permanent allocation from contingency of £1.300m.

- The overspend of £3.954m for **Re** represents 1,231.8% of the total delivery Unit budget (£0.321m). The overspend relates to income recovered from developers, specifically income generated under all existing and new Planning Development Agreements, which recover the council's costs relating to the services provided by Re and will contribute to the achievement of guaranteed income values for each contract year. The Council budgets for the guaranteed income within the Re line however a significant proportion of the income to be counted is actually received within the Housing Revenue Account (HRA). As there is a statutory ringfence of the HRA this causes an income shortfall within the General Fund. A contractual amount of £2.647m was also paid to Re connected to the development pipeline. This has been recognised in 2017/18 and has been funded from earmarked reserves.
- The overspend of £0.100m for the **Street Scene** service represents 0.7% of the total Delivery Unit budget (£13.794m). The service has a number of variances both favourable and adverse which broadly equal out to leave a residual overspend of £0.100m.

A.8 The outturn on the council's 2017/18 **capital programme** was £163.456m, £114.077m of which relates to the General Fund programme and £49.379m to the HRA capital programme. This is a variance of £65.057m less than the revised 2017/18 budget of £228.513m. Table 3 below summarises the actual expenditure, budget and variance by service.

Table 3: Capital programme outturn (2017/18)

Service	2017/18 Revised Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	2017/18 Outturn £000	Variance from Approved Budget £000	Variance from Approved Budget %
Adults and Communities	2,032	272	(71)	2,233	201	9.9
Commissioning Group	36,651	-	(3,079)	33,572	(3,079)	(8.4)
Education and Skills	27,933	-	(13,285)	14,648	(13,285)	(47.6)
Family Services ⁷	10,551	(648)	(2,332)	7,571	(2,980)	(28.2)
Housing Needs and Resources (Barnet Homes)	20,758	-	(5,605)	15,153	(5,605)	(27.0)
Parking and Infrastructure	2,247	(11)	(314)	1,922	(325)	(14.5)
Re	74,634	(582)	(35,973)	38,079	(36,555)	(49.0)

⁷ This includes Family Services and Libraries. Later in the report the libraries budget is presented separately in line with the new Theme Committee remits.

Service	2017/18 Revised Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	2017/18 Outturn £000	Variance from Approved Budget £000	Variance from Approved Budget %
Street Scene	3,293	(5)	(2,389)	899	(2,394)	(72.7)
General Fund Programme	178,099	(974)	(63,048)	114,077	(64,022)	(35.9)
HRA (Barnet Homes)	50,414	196	(1,231)	49,379	(1,035)	(2.1)
Total Capital Programme	228,513	(778)	(64,279)	163,456	(65,057)	(28.5)

A.9 The 2017/18 capital outturn is £65.057m (28.5%) lower than the latest approved budget, primarily due to slippage. The principal variances from budget and the reasons for these are as follows:

- Within the **Commissioning Group** capital programme, there is slippage of £3.079m, £2.693m of which relates to the office build which has slipped further into 2018/19. £0.210m slippage on the ICT strategy is also linked to office build delay. Tarling Road and the Depot relocation have £0.557m of accelerated spend due to the amount of construction that has been completed. There is also slippage of £0.625m on the Sports and Physical Activities project due to delays in construction works commencing.

Within the schools capital programme, there is slippage of £1.976m on schools modernisation, and £1.418m on the Blessed Dominic / St James project, due to planning delays. There is also slippage of £0.553m on alternative provision due to delays in procurement. Special Educational Needs (SEN) schemes are being developed, resulting in slippage of £1.264m. There is also slippage of £2.422m on primary and secondary places earmarked funding, £4.580m on school managed schemes and £1.103m on other projects.

- The 2017/18 capital outturn for **Family Services** shows slippage of £2.332m.
 - There have been delays to the Youth Scheme project with planning taking longer than expected, resulting in slippage of £0.300m.
 - A delay in the planning application for a children's home scheme has resulted in slippage of £0.140m.
 - The early education and childcare place sufficiency project slippage of £0.195m will be used for three projects to be completed in 2018/19.
 - In Family services Estates, the majority of spend relating to building compliance, repairs and maintenance, health and safety and disabled access works will occur in 2018/19, resulting in slippage of £1.150m.
- The capital outturn for **Housing Needs and Resources** shows slippage of £5.605m. The Open Door Homes funding requirements have been reprofiled and the drawdown of £4.882m of the total £10.000m loan will now take place in 2018/19. Within the

project to bring empty properties back into use, two properties are in the pipeline but will not complete this year; this has resulted in £0.843m slipping to 2018/19.

- The **Re** capital programme has decreased by £36.555m. £33.320m of this relates to Brent Cross land acquisitions as the CPO process and subsequent legal challenge have resulted in acquisitions being delayed to 2018/19, and £2.114m relates to investments in roads and pavements where works have been delayed until 2018/19.
- The capital outturn for **Street Scene** shows a variance from budget of £2.394m due to purchases of vehicles and equipment slipping into 2018/19.
- The **HRA** outturn shows an underspend of £1.035m. This is due to delays in the purchase of four flats as part of the Development Pipeline Stag House project (£1.066m) and the re-cladding of Granville Road not completing until 2018/19 (£1.500m), offset by earlier than expected completion of foundation remedial works at Moreton Close accelerating spend that had previously been slipped (£2.319m).

A.10 In 2017/18 the council budgeted to deliver £19.825m of **savings**. Table 4 below summarises by Theme Committee the value of savings that have been achieved against the savings programme. In total, £17.531m of savings has been delivered by year end, which represents 88.4% of the target.

Table 4: Savings (2017/18)

Theme Committee	2017/18 MTFS Savings Target £000	Savings £000	Savings Unachiev- able £000	Savings Achieved %
Adults and Safeguarding	4,867	3,733	1,134	76.7
Assets, Regeneration and Growth	4,976	4,610	366	92.6
Children, Education and Safeguarding ⁸	2,155	2,011	144	93.1
Community Leadership and Libraries	1,501	1,501	-	100
Environment	3,965	3,315	650	83.6
Policy and Resources	2,361	2,361	-	100.0
	19,825	17,531	2,294	88.4

A.11 Agency expenditure has reduced by £1.7m (8.3 per cent) over the year (see table 5).

⁸ This includes Family Services and Libraries. Later in the report the libraries budget is presented separately in line with the new Theme Committee remits.

Table 5: Expenditure on agency staff (2017/18)*

Service	2017/18 £000	2016/17 £000	Increase / (Decrease) £000	Increase / (Decrease) %
Adults and Communities	2,510	3,715	(1,205)	(32.4)
Assurance	16	73	(57)	(78.8)
Commissioning Group	1,355	2,654	(1,299)	(48.9)
CSG	50	-	50	100.0
Education and Skills	-	27	(27)	(100.0)
Family Services	10,396	9,723	673	6.9
HRA	-	36	(36)	(98.8)
Parking and Infrastructure	163	346	(183)	(53.0)
Re	-	91	(91)	(100.0)
Street Scene	2,429	2,686	(257)	(9.6)
Capital projects	2,274	1,578	696	44.1
Total	19,193	20,929	(1,736)	(8.3)

*Service lines include transformation projects

A.12 There were 1,713 staff in established posts (1,406 FTEs) across the three months of the quarter (a 100-odd increase on last year). This was reflected by a reduction in agency staff to 328 (220 FTEs) from 441 last year, particularly between February (243) and March 2018 (212). See tables 6a, 6b, 7a, 7b and 7c.

Table 6a: LBB staff headcount (Q4 2017/18)

Service	Headcount*				
	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18
Adults and Communities	281	290	299	319	319
Commissioning Group	186	218	213	216	220
Family Services	642	699	655	664	672
Street Scene	476	504	523	517	502
Overall	1,585	1,711	1,690	1,716	1,713

*Figures exclude vacancies and Education and Skills

Source: HR Establishment Pack (average for the 3 months that make up each quarter)

Table 6b: LBB staff full time equivalent (Q4 2017/18)

Service	FTE*				
	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18
Adults and Communities	249	257	266	285	287
Commissioning Group	175	202	195	195	201
Family Services	497	515	486	478	489
Street Scene	423	440	448	441	429

Service	FTE*				
	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18
Overall*	1,344	1,414	1,395	1,399	1,406

*Figures exclude Education and Skills

Source: HR Establishment Pack (average for the 3 months that make up each quarter)

Table 7a: Agency (Q4 2017/18)

Service	No. of agency staff*				
	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18
Adults and Communities	78	70	60	44	56
Commissioning Group	35	18	17	20	23
Family Services ⁹	156	117	104	132	167
Street Scene	172	156	132	119	82
Overall	441	362	312	315	328

*Figures not FTE and exclude Education and Skills

Source: HR Establishment Pack (average for the 3 months that make up each quarter)

Table 7b: Agency FTE (Q4 2017/18)

Service	No. of agency FTE			
	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18
Adults and Communities	52	35	44	49
Commissioning Group	18	11	20	21
Family Services ⁴	45	33	83	105
Street Scene	52	33	60	44
Overall	167	112	207	220

*Figures exclude Education and Skills

Source: HR (average for the 3 months that make up each quarter)

Table 7c: Agency FTE (January - March 2018)

Service	No. of agency FTE			
	Jan-18	Feb-18	Mar-18	Average for Q4 2017/18
Adults and Communities	50	58	40	49
Commissioning Group	22	25	17	21
Family Services ⁴	92	112	110	105
Street Scene	40	48	45	44
Overall	204	243	212	220

*Figures exclude Education and Skills

Source: HR (average for the 3 months that make up each quarter)

A.13 Sickness absence increased to 9.89 days from 9.59 days in the last quarter and continued to be higher than the 6 days target (see table 8a). This ongoing high rate was due to the higher rates of sickness absence over the summer and autumn 2017

⁹ This refers to the whole service, including libraries, and not just social care staff.

(between 0.88 to 1.08 days lost per FTE), which continued to feed into the “rolling 12 months” average. Figures reported for the last quarter (January to March 2018) showed much lower rates of absence (between 0.61 and 0.77 days lost per FTE).

- Sickness absence in Street Scene remained high at 15.02 days (and increased from 14.45 days last quarter). Mitigations put in place to reduce sickness absence will take a while to filter through into the “rolling 12 months” average. The last quarter (January to March 2018) saw the lowest rates of absence (between 0.87 to 1.01 days lost per FTE since April 2017 (see table 8b).
- Measures to address sickness absence in Adults and Communities resulted in the second consecutive quarterly reduction to 10.30 days (from 10.42 days last quarter).

Table 8a: Sickness absence (Q4 2017/18)

Service	Average days lost per FTE (rolling 12 months)				
	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18
Adults and Communities	9.71	9.90	10.90	10.42	10.30
Commissioning Group (incl. CEO)	3.94	4.22	4.35	4.54	3.77
Family Services	6.92	6.15	6.11	6.99	7.73
Street Scene	9.59	10.47	12.96	14.45	15.02
Overall*	7.83	7.85	8.86	9.59	9.89

**Figures include Education and Skills*

Source: HR Dashboard (average over rolling 12 months)

Table 8b: Sickness absence in Street Scene (April 2017 to March 2018)

	Average days lost per FTE (rolling 12 months)												
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Annual*
Street Scene	0.84	1.16	1.24	1.32	1.52	1.39	1.67	1.80	1.28	1.01	0.87	0.89	15.02

**Annual figure affected by rounding*

Source: HR Dashboard (average over rolling 12 months)

Progress on key activities

A.14 A progress update on The Way We Work (TW3) programme and Customer Services has been provided below.

- **Implementing The Way We Work programme** - this programme focuses on preparing the council’s workforce for the office move to Colindale, including ensuring staff have the right tools to be able to work from any location across the borough; and delivering the accommodation and travel arrangements that will enable staff to work effectively. **Office build:** the ground floor design has been reviewed and changes suggested to extend the cafe area. The move has been re-scheduled for January to March 2019 to allow enough time for construction and fit-out of the building. In preparation for the move, clear-out sessions and space planning have been undertaken. **Technology:** Office 2016 and Skype for Business have been installed for approximately 1,400 staff and Skype telephony training rolled-out. **People and Change:** a recruitment campaign for Change Champions has resulted in an increase

from 63 to 130 across all services and partners. This was followed by a well-received Change Champion event in February 2018 at the RAF.

- **Continuing to improve customer services** – the council is moving to a digital by default approach, which aims to get the majority of customer contact online. In Q3 2017/18, the council launched its new My Account service, which will be further developed in 2018 along with a re-design of the council's website. Table 9 shows how contact volumes have changed compared with the same quarter last year: webforms have increased by 37 per cent (from 13,113 to 17,943), website visits have increased by 12 per cent; and telephony, face-to-face and email volumes have all fallen. The indicators to increase self-service contacts and reduce failure demand through 'right first time' contacts fell, with one not achieving target, but this was due an increase in telephone calls last quarter due to poor weather conditions. Customer Services responded to 99 per cent of webforms within the agreed timeframes.

Table 9: Contact Centre volumes (Q4 2017/18)

	Q4 2016/17	Q4 2017/18	Change
Website visits	731,448	818,947	+12%
Webforms	13,113	17,943	+37%
Telephony	309,143	272,972	-12%
Face-to-face	21,125	14,693	-30%
Emails (CSG only)	5,740	2,601	-55%

A.15 To ensure the council maintains its focus on customers, a range of customer indicators are monitored via a dashboard (see table 10). This shows that 63 per cent (10 of 16) indicators have met the quarterly target. Of particular note are:

- **Customer satisfaction** - satisfaction with **customer service** (across all channels excluding web) remained above target at 91 per cent. However, satisfaction with the **website** fell to 36 per cent (from 41 per cent last quarter). The following issues were identified: **My Account:** 8 per cent more ratings were submitted (2,948) compared with last quarter (2,736), with a significant volume of 'poor' ratings (1,787) that contributed (25 per cent) to the total negative responses received. In response to dissatisfaction from users not being able to access their My Account, a new process was introduced to contact users and resolve password issues. Other problems with users forgetting passwords or locked out of My Account and activation emails not being received are being addressed. **Accuracy of bin data:** an additional 74 per cent ratings (1,589) were made on the bin collection dates webpage than last quarter (913), and 63 per cent of these (1,001) were negative. This was mainly due to the inaccuracies in bin collection data (which is still affecting customers). Street Scene has formed a new Data and Systems team, which will ensure data updates are made to the collections dataset and uploaded to the website. The lack of a calendar format also continued to drive dissatisfaction. This is expected to be addressed by the procurement of a new system later in 2018. **Out of date content:** the poor weather conditions resulted in a higher number of information-driven website visits e.g. school closure dates. The content of the webpages most affected (homepage, school information, news, waste and recycling) have been updated. Despite these issues, users continued to visit the website and successfully transacted in higher numbers than ever (see table 9).

- **Complaints and Members' enquiries** – the complaints response rate exceeded target (92 per cent), with volumes slightly lower than last quarter. Of the 1,878 Members Enquiries received only eight were not responded to on time. There was an increase in Members Enquiries into Re (807, compared with 665 last quarter). Most of these were for Highways (604) and included a high number of pothole-related enquiries arising as a result of the poor weather.
- **Cases delivered within agreed timeframes¹⁰ - remained below the 94 per cent target at 91 per cent.** This was an improvement from last year (87 per cent). The main driver of this measure is Revenues and Benefits, which accounts for 80 per cent of cases. The service's cases closed figure is understated. Despite this the service performed at 92 per cent and is operationally stable and well set-up to manage the increased seasonal demand that will materialise next quarter. Street Scene's performance (76 per cent) reflects a backlog of cases that need to be recorded on the reporting system. Poor weather conditions early in 2018 meant the service focused its resources on operational necessities. Four service support staff vacancies have been filled, which will allow improved record keeping. Re remains below target due to performance in Highways (72 per cent), which is responsible for over 45 per cent of Re cases (3,750 of 8,300 cases). This remains a priority and the case closure process is the subject of an internal review. Cases for **customers requiring additional support** performed at 99 per cent.
- **Waiting times for non-appointments** - this remained better than target at 3 minutes and 46 seconds for the two Customer Services access points. Barnet Homes' Housing Options appointment waiting times will not be available until reporting issues with the Qmatic platform are resolved.
- **Desk phones answered (CS17)** – this remained below the 95 per cent target at 86 per cent. The council is migrating to a Skype platform and resolving core data issues and this will impact negatively on the accuracy of reporting. Until these are completed this measure will not be reported, but will be monitored.

Table 10: Customer experience dashboard (Q4 2017/18)

Indicators	Q4 2017/18 Target	Q3 2017/18	Q4 2017/18	DoT
Customers that rate customer service as 'Good' (GovMetric)	89%	90%	91%	↑
Customers that rate the website as 'Good' (GovMetric)	55%	41%	36%	↓
Self-service contacts	42%	45%	40%	↓
Right first time contacts	78%	85%	82%	↓
CSG Webforms responded to within SLA (5 days)	95%	99%	99%	→
CSG Emails responded to within SLA (5 days)	95%	100%	99%	↓
Complaints responded to within SLA	90%	91%	92%	↑
Members Enquiries responded to within SLA (5	98%	100%	100%	→

¹⁰ A 'case' is defined as an action incumbent on the council. This could include tasks such as fixing a boiler or arranging housing for a resident.

Indicators	Q4 2017/18 Target	Q3 2017/18	Q4 2017/18	DoT
days)				
Members Enquiries cases closed in 5 days	-	79%	72%	↓
Contact centre calls answered in total, including IVR ¹¹	95%	93%	94%	↑
Cases delivered within SLA ¹²	94%	90%	91%	↑
Cases delivered within SLA for customers needing additional support	94%	100%	99%	↓
Case Closure Survey (sum of 'Very good' and 'Good' ratings)	65%	58%	70%	↑
CSG Non-appointment average wait (min) ¹³	5 min	4 min 32 sec	3 min 46 sec	↑
CSG Appointment average wait (min) ¹⁴	5 min	N/A	N/A	→
FOIs resolved within SLA	90%	96%	95%	↓
Council desk phones answered in total	95%	85%	86%	↑

OVERVIEW OF CORPORATE RISKS

A.16 The corporate risk register (Appendix A) includes strategic risks and high level service/joint risks (scoring 15 and above). Risks are managed in line with the council's risk management framework, where the following definitions apply:

- Tolerate – this means **accepting the risk** with the existing controls and mitigations in place
- Treat – this means **actively managing the risk** through the implementation of additional mitigating actions.

A.17 The risk registers are live documents with new risks emerging and risk scores changing at any time. The risks set out in the corporate risk register provide a snapshot in time (as at end March 2018).

Strategic risk register

A.18 The strategic risk register includes 22 risks overall, which are being managed in line with the council's risk management framework. Seven of these are high level risks with a residual risk score of 15 or above. All are being managed as 'treat', except for STR004 which is being managed as 'tolerate'.

- **STR021 - Delivery of Ofsted Improvement Action Plan (risk score 15).** If the Ofsted Improvement Action Plan is not delivered across the partnership quickly enough, it could lead to outcomes for children, young people and families not improving at the pace required. The Ofsted Improvement Action Plan continues to be delivered. The second Ofsted monitoring visit took place in January 2018, with the report identifying some key areas to be addressed: 1) Space for conference

¹¹ Re, CSG and Barnet Homes. Barnet Homes target is 92%.

¹² Data covers Parking, Assisted Travel, Highways and Planning and Revenues and Benefits.

³ Average wait time = 930 hours/ 14,687 visits. Housing Options appointments have been excluded since accurate data are not available due to a reporting error (see narrative).

⁴ Appointment data not available due to a software error (see narrative).

calling as part of S47 strategy discussions. This has been provided on the second floor; 2) Focus on supervision. The focus on all cases is to ensure there is effective, reflective supervision on file. Management action is being taken to ensure cases are being supervised and notes are on the file. Training has been undertaken by Team Managers and coaching and support is being offered across the service; 3) Quality of Assessment and Planning. This remains a clear focus across all aspects of the service. Training has been taken up and we have put in place a range of systems to drive up the standards; and 4) Inadequate work. Family Services is continuing to use the audit findings to direct the work of practice development and address poorer practice across the service. Some progress has been made in this area but the service needs to continually focus on embedding the changes. A third Ofsted monitoring visit took place in April 2018. Although the monitoring letter has not been received, verbal feedback indicated consolidated improvement.

- **STR020 - Lack of fully functioning Adults case management system (risk score 20 – increased from 15).** This risk relates to the substantial remedial work required to the Mosaic case management system. If the programme plan to complete this work is not agreed and implemented in a timely manner, the lack of a fully functioning case management system will have an impact on key business processes that may become unable to function, and on data or information that may become incomplete or misunderstood. A joint programme board is in place to drive delivery of a fully functioning case management system, supported by a programme plan to complete remedial work, monitored by Capita and the council. Progress is further delayed and, as a result, the risk score has increased from 15 to 20. The programme plan has been refined to ensure delivery of the highest priority activity and to pursue the appropriate commercial process.
- **STR004 - Future financial pressures and uncertainty (risk score 20).** This risk relates to the uncertainty and lack of clarity on the impact of changes in the national and regional political landscape. This risk is being managed as tolerate as there is little more that Barnet Council can do to minimise the risk of central government changing policy. Existing mitigations centre on regular liaison with central government contacts and lobbying. The Medium Term Financial Strategy (MTFS) for 2018/19 to 2020/21 has been approved by Council, where a significant budget gap was identified. As a result of funding uncertainty, the Priorities and Spending Review (PSR) process has been refocused on an enhanced Finance and Business Planning Process. This process will involve a robust challenge of agreed planned savings for 2018/19 and 2019/20 and a requirement to identify alternatives and new proposals to stay on track. The outcomes from this work will result in a revised and updated MTFS to be considered by Members from November 2018 onwards; which will be revised to ensure any unplanned funding reductions can be managed.
- **STR003 - Delivery of transformation programmes (risk score 15).** The mitigating actions are intended to ensure that transformation programmes are delivered to deadline and within budget. The allocation of transformation resources is reviewed at least monthly with CSG to ensure there are no major gaps in resources. Key projects and programmes within the transformation portfolio have the required resources allocated to them to deliver against project and programme plans. An audit has been undertaken for TW3 programme and findings will be reported to Audit Committee. The possibility of staff resignations as a result of the office move to Colindale have been considered and actions will be developed to mitigate this. Work

will soon commence to update the project management toolkit; the updated methodology will also incorporate learning from project and programmes reviews and audits, for example benefits realisation.

- **STR007 - Significant safeguarding incident (risk score 15).** The likelihood of a significant safeguarding incident occurring is being managed through practice improvement and quality assurance activity. **Children:** the children aspect of this risk is being managed by the delivery of the Ofsted Improvement Action Plan, which is monitored regularly and overseen by a Board chaired by the Chief Executive. Ofsted monitoring visits took place in November 2017 and January 2018. Inspectors noted that satisfactory progress had been made and there was a positive sense of direction. The third monitoring visit took place in April 2018 and focused on vulnerable adolescents; with the fourth monitoring visit due in July 2018 to focus on Children in Care, Care leavers and Children with Disability. There was also a CCG inspection in February 2018 under section 48 of the Health and Social Care Act 2008. The inspection focused on the quality of health services for looked after children, and the effectiveness of safeguarding arrangements for all children in the area. Following the inspection, the CQC will write a report about their key findings across the local health economy, and if necessary, make recommendations for improvement which will be considered in relation to this risk as appropriate. **Adults:** quality assurance and audit programmes are ongoing. The new Independent Chair of the Barnet Safeguarding Adults Board (SAB) started in January 2018 and has been working with partners to develop a refreshed multi-agency performance and quality assurance report that will be scrutinised by the SAB and Performance and Quality Assurance sub-group.
- **STR023 – Commercial viability of strategic suppliers (risk score 15).** If the commercial viability of a strategic supplier declines this could lead to operational failures resulting in service disruption/ reduction; failure to discharge statutory duties; and financial costs. This risk is being mitigated by the use of Barnet's contract management framework, with policy and procedures for commercial activity. Contract monitoring takes place monthly with quarterly reporting to Policy & Resources (P&R) Committee. The contract register is kept under review with checks on financial status of strategic suppliers. Contract management arrangements are in place, including indicators to identify financial stress. Work is ongoing to enable the council to exercise its rights in respect to 'step-in' in the event of this risk event occurring. Monitoring via existing controls is taking place; and Members have been briefed on arrangements. Business continuity plans are in place as an effective control, but could be more effective by being more specific to this risk. Changes to business continuity plans will be explored with a view to setting additional actions to improve them.
- **NEW - STR024 - Tri-borough reorganisation of the Met Police (risk score 15).** This risk relates to the re-organisation of the Met Police into a tri-borough format. This may result in a dip in performance while the changes take place; police resources previously available to Barnet being re-allocated to Harrow and Brent; and an increase in police response times due to the service being delivered over a larger geographical area and the relocation of police hubs. These events may lead to a decrease in community safety, reputational damage and a reduction of public confidence in policing in Barnet. This risk is being managed with support from the Safer Communities Partnership Board and via regular meetings with the Met Police Borough Commander. Initial actions have been proposed with a view to establishing

more effective and comprehensive controls than are currently in place for this newly identified risk. As these actions are progressed and the controls are improved the residual level of risk will be assessed each quarter to ascertain progress towards the target level of risk.

Additional risk information

- A.19 Central Services risks are held on the Customer Strategy, Communications and Assurance (CSCA) and Growth, Resources and Commercial (GRC) service risk registers, which are being managed in line with the risk management framework. There are 14 risks on the CSCA risk register and 14 risks on the GRC risk register. None are high level risks with a residual risk score of 15 or above.
- A.20 High level risks on other service and joint risk registers are outlined in **Part B: Performance by Theme Committees.**

PART B: PERFORMANCE BY THEME COMMITTEE (COMMISSIONING PLANS)

Theme Committee performance indicators

B.1 The EOY 2017/18 position for the basket of indicators in the Theme Committee Commissioning Plans has been set out in table 11 below. This shows the majority of indicators (72%) met target for the year; and most (65%) improved or stayed the same since last year.

Table 11: Theme Committee Indicators (EOY 2017/18)

Theme Committee	Green	Green Amber	Red Amber	Red	Improved/Same	Worsened	Monitor only	No. indicators
Central Services	43% (3)	14% (1)	14% (1)	29% (2)	57% (4)	43% (3)	0	7
Adults and Safeguarding	74% (14)	26% (5)	0.0% (0)	0.0% (0)	76% (13)	24% (4)	7	26
Public Health and Wellbeing	100% (13)	0% (0)	0% (0)	0% (0)	77% (10)	23% (3)	0	13
CES	74% (26)	6% (2)	3% (1)	17% (6)	69% (25)	31% (11)	12	47
ARG	43% (3)	43% (3)	0% (0)	14% (1)	60% (6)	40% (4)	4	11
Housing	77% (14)	6% (1)	0% (0)	17% (3)	45% (10)	55% (12)	7	25
Environment	71% (12)	6% (1)	0% (0)	23% (4)	71% (12)	29% (5)	0	17
Community Leadership and Libraries	63% (5)	25% (2)	0% (0)	12% (1)	58% (7)	42% (5)	5	13
All CPIs and SPIs¹⁵	72% (90)	12% (15)	2% (2)	14% (17)	65% (88)	35% (47)	35	159

B.2 The indicators that have not met target (RAG rated as Amber or Red) have been outlined for each Theme Committee in the relevant sections below.

¹⁵ CPI = Corporate Plan indicator; SPI = Commissioning Plan indicator.

ADULTS AND SAFEGUARDING COMMITTEE

- B.3 The priorities for Adults and Safeguarding Committee are to implement strength-based practice; integrate local health and social care services to prevent crises and help individuals stay well and in their own homes; diversify Barnet's accommodation offer to help more people live independently; transform day care provision to ensure that people remain active and engaged through access to employment and volunteering; and improve the borough's leisure facilities to support and encourage active and healthy lifestyles.

Budget outturn

Revenue							
Service	Original Budget £000	Revised Budget £000	Outturn £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move-ments £000	Variance after Reserve Move-ments Adv/(fav) £000	Variance after Reserve Move-ments Adv/(fav) %
Adults and Communities	87,145	87,177	90,101	2,924	(1,717)	1,207	1.4

- B.4 The revenue budget for **Adults and Communities** overspent by £2.924m but this has been reduced to £1.207m following the drawdown from reserves, predominantly driven by an overspend of £3m in the care placements budgets.

Adult Social Care (ASC) has experienced increasing complexity and demand for services since 2014/15. The learning disability budgets have been experiencing pressure as a result of the transforming care (Winterbourne) agenda. The outturn includes c£0.275m spend on three supported living placements where responsibility for individuals has been transferred from the NHS to local authorities but funding to cover all of the cost has not. The average weekly cost for LD Supported Living increased by 18 per cent from 2016/17.

The overspend also includes expenditure relating to backdated claims for Ordinary Residence that have been lost. This results in a one-off impact on the 2017/18 outturn of £0.479m and an ongoing budget pressure of £0.116m.

In terms of ongoing commitments, there is also significant pressure resulting from homecare, equipment and nursing care placements. The council has been working hard to support local NHS partners to cope with the pressures on the health system and reduce delayed discharges of care. The growing demand from health led to an increase of 7 per cent in commissioned homecare hours (£0.933m) compared with 2016/17. The increase in homecare activity was also compounded by an 8% average increase in contractual rates (£1.066m) as a result of inflation and changes in market conditions. This increase followed a period of suppressed inflationary increases and contributes to stabilising the care market. The weekly cost of Nursing Care in Older Adults increased by 6 per cent in 2017/18, with new clients costing £144 per week above the council's minimum sustainable price given market pressures and additional complexity of need.

Non-placements budgets underspent by £1.3m, which offsets some of the pressures against the placements budgets. The underspends in this area are from in-year vacancies, one-off savings and additional income identified.

Community equipment costs have increased by £1m predominantly on items funded by the CCG. Equipment costs capitalised via the Disabled Facilities Grant (DFG) budget (£0.483m) resulted in a £0.3m underspend. The Deprivation of Liberty Safeguards (DOLS) service continues to be a significant cost pressure (£0.145m) in 2017/18 as a result of Supreme Court judgements in 2014/15 and a loss of grant funding since 2015/16.

Capital						
Service	2017/18 Revised Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	2017/18 Outturn £000	Variance from Approved Budget £000	Variance from Approved Budget %
Adults and Communities	2,032	272	(71)	2,233	201	9.9

B.5 The capital outturn for Adults and Communities was £201k (9.9%) overspent.

Progress on key activities

B.6 Social care services for adults have a key role to play in improving the lives of Barnet's most vulnerable residents. The council works with housing, education and health sector partners to enable people to stay independent, in control of their lives and live for longer in their own homes. A progress update on key activities has been provided below.

- **Embedding strength-based practice** –the strength-based practice model was implemented as the core practice model across all social work and occupational therapy teams in the Adults and Communities Delivery Unit. With strength-based practice embedded, the focus has been on measuring the impact and continuous improvement of the model through key indicators such as reductions in residential admissions and case studies. The service recently showcased the Barnet strength-based model at a good practice event in Hampshire and regularly responds to requests from other councils for information on the approach. As part of the strength-based model, a new mental health social work structure was introduced, which brought mental health social workers back under council line management from the NHS and expanded the enablement and recovery model based in the Network mental health enablement service. As a result, referrals to the Network increased by 30 per cent and were effectively managed with a 10 per cent reduction in staffing costs in mental health overall. Mental health delayed transfers of care reduced. More mental health users have been using telecare and peer workers (people with lived experience) have been employed by the council in the Network service.

Strength-based practice has been augmented by new service development. For example, the council developed a specialist Dementia Carers support service, which provides training, advice, support and care to enable individuals to remain in their own home and prevent carer breakdown. The service worked with 40 couples over

the year, resulting in admission prevention for 39 couples and 1 admission. The strategic telecare partnership with Argenti delivered more than 1,700 new telecare installations. The council's new Supported Living Framework was launched, including new accommodation models for complex needs in mental health and learning disabilities services, such as 'Crash Pads' for short term respite. The service has brought many new providers into the borough (for example, 13 new mental health providers), increasing market capacity as well as the support options available to meet people's needs. A new employment support framework was launched in the last quarter for users with eligible social care needs. Other strength-based services commissioned in 2016/17 continued to operate, including the Shared Lives scheme and the personal assistants service.

- **Integrating local health and social care** – the council jointly leads the Care Closer to Home programme with NHS Barnet CCG. The programme aims to increase the levels of care provided through GP practices and, through this, prevent crises and admissions to hospital and delay the escalation of care needs. As part of the programme Care Closer to Home Integrated Networks (CHINs) have been introduced across the borough. These include extended hours GP appointments; groups of GP practices working together; and over time it is envisaged they will include community health services. CHINs will have links and referral routes to council services. The first CHIN (Burnt Oak) went live in February 2018, focusing on diabetes; with the second (Oakleigh and East Barnet) focusing on frailty in the elderly; and subsequent CHINs, focusing on paediatrics, due to go live in April and June 2018. Plans for full borough coverage of CHINs are being developed and will be presented to the Health and Wellbeing Board in July 2018.

Health and social care are integrated in many other ways. The council and CCG have a joint commissioning team, an integrated learning disabilities team and integrated frontline teams in mental health. Hospital social work is available in acute hospitals seven days a week. The council and CCG have a joint approach to dementia services, commissioning an integrated community dementia pathway comprising the memory assessment service, dementia advisors, the dementia hub and a network of dementia cafes. Barnet continues to achieve the national NHS dementia diagnosis target. The council works with the CCG to support people with learning disabilities and autism to move out of long-term hospital settings (under the Transforming Care Partnership, previously known as the Winterbourne View Concordat). This work was led by the integrated learning disabilities team and has been effective in moving people from long-term hospital. However, the high costs of placement for this group of people has resulted in budget pressures for the council.

- **Diversifying Barnet's ASC accommodation offer** – the council has progressed the construction of three new extra care schemes at Ansell Court, Stag House and Cheshir House, in partnership with Barnet Homes. These schemes offer residents their own flat with a secure tenancy, and care and support services on site. Ansell Court will be the first scheme to open in early 2019. It will have 53 flats suitable for couples and has been designed specifically to meet the needs of people living with dementia. It will also include communal spaces, a garden and café. Planning permission has been given for 51 flats at Stag House; and Cheshir House will be developed as part of the regeneration of the Fosters Estate in Hendon. This will bring total number of extra care units in Barnet to 325.

- **Transforming day care provision** – 13 providers were accepted onto Barnet's Approved Provider List for day opportunities and employment support for those with eligible needs in November 2017. The aim is that more services offer employment support in the borough for people with care and support needs, covering job readiness, job finding and job retention. The council has developed three new types of day opportunity provision to meet the varying requirements of people with low and medium needs and those with profound and multiple learning and physical disabilities and complex health needs, which will take a strength-based approach to developing service users' independence, social networks and employment or volunteering opportunities. The council has also developed innovative new types of intensive employment support packages, that can be purchased for individual service users and is prototyping new referral processes to test the impact and outcomes of these models. The council recommissioned Your Choice Barnet's (YCB) day services last year, with an increased focus on employment and independence. Services have been transformed, working in partnership with service users and families. More service users now access community based activities. The employment support pathway has supported 29 people, of which 13 have entered employment, four are volunteering and 13 are receiving ongoing support to find employment.
- **Expanding evidence-based prevention and early support** - the Prevention and Wellbeing Co-ordination Service went live in the third quarter of 2017/18. The service is based on an evidence-based model from Australia called Local Area Co-ordination, which diverts eligible users from statutory care services into community options, reduces social isolation and provides support for those below statutory thresholds. The service operates borough-wide and has delivered positive results; working alongside adults to maintain their independence and maximise their wellbeing. The service has supported people to move into new accommodation; to engage in local community groups, e.g. engaging a whole family in a local walking group; finding free English classes for residents; and supporting people to get essential maintenance done. The team has held three community meetings capturing the views of local people and are working with Age UK Barnet, Stonegrove Community Centre and The Hive to set up a programme for the over 55's including exercise, lunch and a reading group; a Bollywood dancing class in Edgware and a men's social group in Child's Hill.
- **Prioritising the needs of carers** – the council has continued to prioritise the needs of carers and ensure they are valued as expert partners in supporting working age adults and older people to live independent lives. The council delivered training sessions on improving support for carers to primary care professionals. New digital resources for carers were launched on the Adults Social Care webpages and the commissioned provider for carers and young carers webpages. These new resources include tools to maintain health and wellbeing, training and access to the Jointly app, which provides a way to organise and share caring responsibilities amongst family and friends.
- **Implementing the new ASC case management system** – the council has continued to work with Capita to progress remedial work on the Mosaic case management system. Recently, this has focused on year-end activities including financial reporting and production of the statutory returns
- **Improving leisure facilities and physical activity** – a new 10-year leisure management contract was awarded to Greenwich Leisure Limited (GLL) in October

2017 following competitive dialogue and the new contract became effective from 1 January 2018 to 31 March 2028. The new contract will provide an annual average management fee paid from the operator to the council of £1.538m per annum (reversing a deficit position of c.£1.2m); and will deliver facility improvements at Hendon, Finchley and Burnt Oak Leisure Centres. In addition, GLL will deliver a range of health benefits throughout the contract term. These focus on improving and sustaining participation such as free swimming opportunities, dementia friendly swimming, and discount memberships for residents. There will also be a range of health interventions such as weight management and diabetes interventions and community programmes. The provider has developed an evaluation partnership with Middlesex University. The council has also progressed the construction of the two new leisure centres at Barnet Copthall and New Barnet. The groundwork and pool excavations for these schemes are now complete. These new facilities form part of a £41.5m council investment and are due for completion in June and August 2019. For the Fit and Active Barnet Network, developments to co-ordinate a campaign from June 2018 have been confirmed.

The Barnet SHAPE Programme in Burnt Oak and Colindale was jointly funded by the council and Sport England. The initiative accumulated over 12,000 attendances to date, surpassing the programme target by 30 per cent. This included engagement of 60 disabled participants and supporting 50 young people to achieve a sports related qualification. Notable health and wellbeing benefits included reported weight loss, improvements in confidence, enhanced friendships and reduced isolation.

The Barnet Health Walks programme co-ordinated seven instructor-led health walks on a weekly basis. Each one was led by a qualified instructor and included additional exercises to improve physical fitness and develop strength and conditioning. The programme engaged over 6,500 older adults and was promoted amongst the Fit and Active Barnet Network.

The London Youth Games, Europe's largest annual youth sports event, has a rich history in producing the country's most high-profile athletes. The co-ordinated over 400 young people to represent Barnet, in partnership with sports clubs and schools. 'Team Barnet' won 1st place (Gold) in Boccia Mini and Female Table Tennis, 2nd place (Silver) in Fencing, Mini Swimming and Male Table Tennis, and 3rd place (Bronze) in Cross Country. In addition, one netball player was spotted by England Netball and ex-England player and captain, Amanda Newton, at the Finals; subsequently being invited to train with the London and South-East region.

Performance indicators

Adults and Communities

- B.7 The aim of the council's plan for ASC is to enable people to remain independent and in their own home for as long as possible. Performance indicators show that the council has been effective in reducing admissions to residential care as a result, with performance better than both comparator group and nationally. In addition, improvements have been made in terms of independent living for people with learning disabilities: 75 per cent live in their own homes or with family (compared with 72 per cent last year; and above comparator group at 69 per cent). People with mental health issues living in stable accommodation remains high at 82 per cent, although slightly down on 84 per cent last year. In addition, 18 working age adults have

‘stepped down’ over the course of the year from residential care to stable accommodation.

Reducing delayed transfers of care (DTOCs) has been a priority for ASC. In July 2017, central government set all local authorities with social care responsibilities a target for DTOC reduction, to be achieved by September 2017 (and reported in November 2017). Retention and use of the improved Better Care Fund (iBCF) were subsequently linked to the achievement of this target. At the beginning of the 2017/18 financial year, the council was not achieving this target. However, as the year progressed, the council’s performance improved and the target has been achieved consistently in the latter part of the year. Key challenges to reported performance were: NHS data quality; and care market availability, especially home care and nursing care. To address these, work was carried out with NHS provider trusts (which submit the national DTOC data) to ensure that submissions were accurate. Detailed investigation revealed that data submitted by NHS organisations had been inaccurate in respect of Barnet (showing it as worse) and so work was carried out to ensure submissions were accurate before they were sent to NHS Digital. This work continues, as data needs to be checked and challenged on a regular basis across all providers where a Barnet resident is admitted, even out of borough. The second challenge was mitigated by commissioning additional home care hours on a block basis and working with YCB to increase weekly enablement hours. Some iBCF funding was used to increase the number of care brokers, to pro-actively source nursing placements and the Care Quality Team worked to improve quality and through this, reduce embargoed nursing care beds. However, Care Quality Commission data shows that the number of nursing care beds in the borough has reduced by around 300 in the last four years. This, coupled with the fact that at any given time, the council is competing with other councils and CCGs (both in London and beyond) for nursing care placements in Barnet, means that availability of nursing care remains a challenge.

Key challenges overall in ASC during 2017/18 were social care market availability and financial sustainability. Whilst the service has worked to increase market availability, this will remain an ongoing challenge.

Financial sustainability for ASC is a national issue and these pressures are reflected in Barnet. [ADASS has suggested](#) that that an additional £1billion is needed to cover the unavoidable costs of demography^[1], inflation and the National Living Wage; and £1.3billion to stabilise the ASC provider market, per annum. This has been reflected in the [Lord Darzi review of Health and Care](#), which projected a £9.6bn social care funding gap by 29/30, nationally.

An [ADASS survey in October 2017](#) showed that 53.4% of councils with ASC responsibilities forecast overspend on their ASC budgets (up to £20.8m). For a significant number of those that are predicting to be on budget, this relied on additional iBCF funding / use of reserves. At the same time, the council has seen increased demand for services, especially from hospitals (where assessments went up from 697 in 2016/17 to 1,052 in 17/18) and in safeguarding, where concerns were 1,519, up from 1,000 in 2016/17 and enquiries (investigations) increased from 275 to 526. The council also made improvements or remained constant in measures of user

^[1] [Demographic pressures](#)- increasing needs of younger and older adult cohorts: Older people: 1.1%; People with learning disabilities: 1.2%; People with mental health needs: 0.2%; Physically disabled people: 0.3%

satisfaction; complaints have remained low with a reduction in recorded complaints from 96 in 2016/17 to 83 in 2017/18 (the detail is reported separately to Adults and Safeguarding Committee in the annual statutory complaints report).

B.8 Four Adults and Safeguarding indicators in the Corporate Plan have not met the annual target; and one indicator (the latter) in the Adults and Safeguarding Commissioning Plan has not met the annual target.

- **AC/S4 Percentage of adults with learning disabilities in paid employment (RAG rated GREEN AMBER)** – 10.1% against annual target of 10.3%. This represents 79 people in paid employment out of a cohort of 785. This cohort, in line with the national definition for this indicator, represents all people who use Learning Disabilities services over the course of the year and includes some individuals who are no longer in contact with the council. A new Learning Disabilities employment support offer has been made available in 2017/18 and Your Choice Barnet has achieved a number of successful outcomes for individuals who have accessed volunteering and training opportunities. Learning disabilities service users have been signposted to appropriate employment support opportunities, including third sector organisations via the Prevention and Wellbeing Service, and newly commissioned day opportunities. The council remains above its comparator group average (9.1%) and well above the England average for this indicator (5.7%) and improved success in relation to this measure remains a focus for the service.
- **AC/S5 Percentage of adults with mental health needs in paid employment (RAG rated GREEN AMBER)** - 6.7% against annual target of 7.5%. This indicator refers to individuals with complex mental health needs for whom employment may be particularly challenging. Mental health service users have been signposted to employment opportunities, including the embedded employment services. For people with less complex needs, the new mental health enablement model has promoted community-based support options, including access to employment, diverting people from the need for more intensive services.
- **AC/S6 Percentage of adults with mental health needs who live independently, with or without support (RAG rated GREEN AMBER)** - 82.4% against annual target of 83%. This indicator refers to individuals with complex mental health needs, for whom stable accommodation options may be challenging to find. The new mental health enablement pathway has promoted access to alternative accommodation options, including the new supported living framework providers, for individuals with mental health needs. New admissions to residential care for working age adults has remained low, while mental health delayed transfers of care have been reduced throughout 2017/18.
- **AC/C12 Number of delayed transfers of care from hospital per 100,000 population (aged 18+) which are attributable to the NHS and ASC (RAG rated GREEN AMBER)** – 9.4 against annual target of 9.1. Substantial work has been carried out to reduce delayed transfers of care in Barnet, involving a range of measures. These range from introduction of a new 'discharge to assess' service which provides extra beds for patients close to discharge from hospital, to co-location of brokerage staff with hospital teams to ensure care placements are sourced quickly. To highlight the level of improvement, the rate of delays per day per 100,000 population fell to 9.4 days (from 15.6 last year).

- **AC/S8 Percentage of new clients, older people accessing enablement (RAG rated GREEN AMBER)** – 54.5% against annual target of 65%. The referral criteria for reablement was redefined in March 2017 following a review of the service to reduce the number of inappropriate referrals and ensure that the specialist service and its resources were used to best advantage. The aim has been to target referrals more effectively and as a result the proportion of new clients referred into the service has decreased.

Public Health¹⁶

B.9 All indicators in the Public Health and Wellbeing Commissioning Plan met the quarterly targets.

¹⁶ Public Health data is reported a quarter in arrears, so data is for Q3 2017/18.

Adults and Communities

Corporate Plan Indicators ¹⁷									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	AC/S1 (ASCOF 3A) (Annual)	Percentage of people who use adult social services satisfied with their care and support	Bigger is Better	Annual – reported in Q3 2017/18	61.3% (within confidence interval)	61.1% ¹⁸ (reported in Q3 2017/18) (G)	61.3% (reported in Q2 2016/17)	↔ Same	Nearest Neighbours 60.4% England 64.7% (NASCIS, 2016/17)
CPI	AC/S10 (ASCOF 1B) (Annual)	Percentage of people who feel in control of their own lives	Bigger is Better	Annual – reported in Q3 2017/18	70% (within confidence interval)	72.1% ¹⁹ (reported in Q3 2017/18) (G)	69.4% (reported in Q2 2016/17)	↔ Same	Nearest Neighbours 73.1% England 77.7% (NASCIS, 2016/17)
CPI	AC/S25	Percentage of Social Care Direct customers who are satisfied or very satisfied with the service they have received post resolution	Bigger is Better	Apr 2017 - Mar 2018	85%	88% (G)	80%	▲ Improving	No benchmark available
CPI	AC/S3 (ASCOF 1G)	Percentage of adults with learning disabilities who live in their own home or with their family	Bigger is Better	Apr 2017 - Mar 2018	65%	75% (G)	72%	▲ Improving	Nearest Neighbours 68.5% England 76.2% (NASCIS, 2016/17)
CPI	AC/S4 (ASCOF 1E)	Percentage of adults with learning disabilities in paid employment	Bigger is Better	Apr 2017 - Mar 2018	10.8%	10.1% (GA)	10.9%	▼ Worsening	Nearest Neighbours 9.1% England 5.7% (NASCIS, 2016/17)

¹⁷ The Monitor indicators have been included for information.

¹⁸ This survey indicator has a confidence interval of +/-4.1%pts. The measures from the annual social care survey have been subject to further validation and are being resubmitted to NHS Digital, the publishers of national social care data. These updated figures are not yet reflected in the published NHS Digital results. The result differs slightly to that reported in Q3 2017/18 (61.7%) due to further data cleansing.

¹⁹ This survey indicator has a confidence interval of +/-4.1%pts. The result differs slightly to that reported in Q3 2017/18 (69.9%) due to further data cleansing.

Corporate Plan Indicators¹⁷

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	AC/S5 (ASCOF 1F)	Percentage of adults with mental health needs in paid employment	Bigger is Better	Apr 2017 - Mar 2018	7.5%	6.7% (GA)	7.6%	▼ Worsening	No benchmark available
CPI	AC/S6 (ASCOF 1H)	Percentage of adults with mental health needs who live independently, with or without support	Bigger is Better	Apr 2017 - Mar 2018	83%	82.4% (GA)	84.2%	▼ Worsening	No benchmark available
CPI	AC/S9 ASCOF 2A (2)	Permanent admissions to residential and nursing care homes, per 100,000 population age 65+	Smaller is Better	Apr 2017 - Mar 2018	500	312.5 (G)	381.9	▲ Improving	Nearest Neighbours 404.2 England 610.7 (NASCIS, 2016/17)
CPI	AC/C14	Permanent admissions to residential and nursing care homes, per 100,000 population age 18-64*	Smaller is Better	Apr 2017 - Mar 2018	15	3.2 (G)	8.5	▲ Improving	Nearest Neighbours 7.7 England 12.8 (NASCIS, 2016/17)
CPI	AC/C12	Number of delayed transfers of care from hospital per 100,000 population (aged 18+) which are attributable to the NHS and adult social care	Smaller is Better	As at March 2018	9.1 ²⁰	9.4 (GA)	15.6 (March 2017)	▲ Improving	CIPFA Neighbours 6.52 England 11.60 (March 2018, DoH)

²⁰ The targets for DTOC were amended to reflect the new Department of Health methodology introduced during the year.

Corporate Plan Indicators¹⁷

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	AC/C13 (ASCOF 2C/2)	Number of delayed transfers of care from hospital per 100,000 population which are attributable to adult social care only	Smaller is Better	As at March 2018	2.6 ¹⁶	2.3 (G)	8.7 (March 2017)	▲ Improving	CIPFA Neighbours 2.13 England 3.56 (March 2018, DoH)
CPI	AC/S15 (ASCOF 4A) (Annual)	Percentage of people who use services who say those services make them feel safe and secure	Bigger is Better	Annual – reported in Q3 2017/18	79.6% (within confidence interval)	80.4% ²¹ (reported in Q3 2017/18) (G)	79.6% (reported in Q2 2016/17)	↔ Same	Nearest Neighbours 83.3 England 86.4 (NASCIS, 2016/17)
CPI	AC/S29	Number of instances of information, advice and guidance provided to carers	Bigger is Better	Apr 2017 - Mar 2018	3,300	3,874 (G)	3,226	▲ Improving	No benchmark available
CPI	AC/C17	Percentage of contacts that result in a care package	Smaller is Better	Apr 2017 - Mar 2018	Monitor	22.9%	20.8%	Data provided to show demand pressure on service	No benchmark available
CPI	AC/C16	Number of referrals to hospital social work teams	Smaller is Better	Apr 2017 - Mar 2018	Monitor	1,052	697	Data provided to show demand on service	No benchmark available

²¹ This survey indicator has a confidence interval of +/-3.2%pts, so is within target. The result differs slightly to that reported in Q3 (78.0%) due to further data cleansing.

Corporate Plan Indicators¹⁷

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	AC/C21	Working age adults who have moved out of residential care into stable accommodation	Monitor	Apr 2017 - Mar 2018	Monitor	7.3	New for 2017/18	New for 2017/18	No benchmark available

Commissioning Plan Indicators (not met target)²²

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	AC/S8	Percentage of new clients, older people accessing enablement	Bigger is Better	Apr 2017 - Mar 2018	65%	54.5% (GA)	70.3%	▼ Worsening	No benchmark available
SPI	AC/C19	Proportion of referrals that result in an assessment	Monitor	Apr 2017 - Mar 2018	Monitor	69.6%	New for 2017/18	New for 2017/18	No benchmark available
SPI	AC/S27	Percentage of customer contacts into Social Care Direct resolved at first point of contact	Bigger is Better	Apr 2017 - Mar 2018	Monitor	86.7%	54%	Data provided to show demand pressure on service	No benchmark available
SPI	AC/C20	Number of safeguarding concerns received	Monitor	Apr 2017 - Mar 2018	Monitor	1,519	New for 2017/18	New for 2017/18	No benchmark available

²² The Monitor indicators have been included for information.

Commissioning Plan Indicators (not met target) ²³									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	AC/S21	Number of carers' assessments	Bigger is Better	Apr 2017 - Mar 2018	Monitor	1,093	824	Data provided to show demand pressure on service	No benchmark available

²³ The Monitor indicators have been included for information.

Risk management

- B.10 Adults and Safeguarding risks are held on the Adults, Communities and Health and Public Health risk registers.
- B.11 The Adults, Communities and Health risk register includes 29 risks overall, which are being managed in line with the council's risk management framework. Six are high level risks with a residual risk score of 15 or above. All are being managed as 'treat'.
- **AC001 - Increased overspend in 2017/18 to meet statutory duties (risk score 20 – increased from 15).** This is being addressed by an in-year recovery plan that includes tighter spending controls and more senior management involvement on care spend. The new social care monies allocated by Central Government have been allocated to priority areas of spend and preventative services and the distribution supported by Adults and Safeguarding Committee in June 2017. The Adults and Communities budget has been re-profiled to reflect projected demand more closely. Given the significant financial challenges in 2017/18 detailed work is underway to profile the likely budget position in 2018/19. A three per cent precept has been agreed to support the position in 2018/19.
 - **AC028 - Lack of fully functioning case management system (risk score 20 – increased from 15).** A plan to complete the programme was submitted but then subsequently withdrawn. Capita have reduced the programme team from 16 to seven and the Programme Director left at end of March 2018. This situation has delayed progress and, as a result, the risk score has increased from 15 to 20. The programme plan has been refined to ensure delivery of the highest priority activity and to pursue the appropriate commercial process. Work has taken place throughout the quarter to improve the functioning of specific business processes. Good progress has been made to ensure customer billing processes are functioning more smoothly using an interim billing solution. Improved information governance controls have been maintained; and data inputting backlogs have been reduced following recruitment of new resources. The fortnightly Programme Board has continued to meet to monitor progress.
 - **AC027 - Implementation of new IT systems (risk score 16).** The Investing in IT Programme Board has continued to meet to monitor the implementation of Mosaic, as the most significant new IT system being introduced in Adults and Communities at the present time. A revised programme plan is being reviewed by the joint programme management team with the majority of remedial work on the system forecast to complete by July 2018. The action delivery date has been revised to reflect this. The Adults Digital Strategy Programme Board has met monthly to ensure the join-up of IT projects and programmes across the service and will be supplemented by a technical working group with representation from CSG to ensure systems are co-ordinated at technical and infrastructure levels.
 - **AC031 - Lack of financial control (risk score 16 – increased from 9).** Delays in resolving issues following the move to the new case management system have limited the ability for the council to produce routine budget reports. There is a risk that with limited financial reporting and a result, reliance on work arounds, that budget issues are not identified and addressed in a timely fashion. The new finance reporting solution has continued to undergo testing with workarounds being used to supplement the data for use in year end finance reporting. The revised Mosaic programme plan makes

provision for a review of the system build and service configuration structure, which will provide enhanced financial reporting capabilities and cleansed data later in 2018.

- **AC002 - Failure of care provider (risk score 16) and AC003 - Unacceptable level of quality services provided by care providers (risk score 16).** These risks are being addressed through a programme of quality assurance, practice improvement and provider support. The Care Quality Team mitigates this risk by delivering a programme of monitoring, practice sharing and strategic improvement. The service has purchased a contract management and monitoring system to improve analysis of trends and support early intervention. A joint approach to monitoring the market across London is being piloted. A health and social care project group is leading development of a Care Home Strategy and an enhanced offer for care homes to deliver improved quality of services and reduce risk of failure. A joint approach to managing provider concerns has been put in place led by the primary commissioner. Health funding has been agreed for nursing resources co-located within the council to roll out clinical training for providers to improve management of long-term conditions and end of life.

B.12 The Public Health risk register includes five risks overall, which are being managed in line with the council's risk management framework. One is a high level risk with a residual risk score of 15 or above. This is being managed as 'treat'.

- **PH06 - Pandemic Influenza type disease outbreak (risk score 20 – increased from 16).** A Pandemic Influenza is a national risk and is recorded on the Borough Resilience Forum risk registers for both Barnet and Harrow. A Declaration of Pandemic Influenza by the World Health Organisation (WHO) could lead to severe resource and capacity issues for the council and partner agencies. Multi-agency Pan Flu emergency preparedness, resilience and response planning is in place to ensure robust borough planning in line with current and emerging national and regional guidance. The council has a Pandemic Flu plan in place, signed off and circulated to all partners; and Public Health colleagues take part in the national flu conference call each week. The risk score has increased from 16 to 20 in line with the national Pandemic Influenza risk. Fatality predictions in Barnet across various pandemic scenarios range from 152 to 4,776. With events expected approximately every 10 years and the last event occurring in 2009 a pandemic is considered likely within the next five years.

CHILDREN, EDUCATION AND SAFEGUARDING (CES) COMMITTEE

B.13 The priorities for the CES Committee are to work with partners to make Barnet the most family-friendly borough in London by 2020; ensure effective and robust safeguarding arrangements for vulnerable children and young people; ensure education that is among the best in the country.

Budget outturn

Revenue							
Service	Original Budget £000	Revised Budget £000	Outturn £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move-ments £000	Variance after Reserve Move-ments Adv/(fav) £000	Variance after Reserve Move-ments Adv/(fav) %
Family Services	49,226	55,039	57,409	2,371	(40)	2,331	4.2
Education and Skills	6,525	6,718	6,584	(134)	84	(50)	(0.7)

B.14 The final revenue outturn for **Education and Skills** was broadly in line with budget.

The overspend of £2.331m for **Family Services** represents 4.2% of the total Delivery Unit budget (£55.039m). This represents an increase of £2.117m from Quarter 3 relating to expenditure on placements and employee costs. There was a £2.300m overspend relating to external high cost specialist placements and associated services and the additional directed requirement for two assistant heads of service, three duty assessment team managers and eight duty assessment team social workers resulted in a £0.400m pressure. The ongoing improvement programme will continue to place pressure on existing resources. These pressures were offset by additional one-off grant funding (£0.416m) and realignment of the additional budget allocated by Policy and Resources Committee in June 2017 to high cost placements (£1.200m).

Capital						
Service	2017/18 Revised Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	2017/18 Outturn £000	Variance from Approved Budget £000	Variance from Approved Budget %
Family Services	4,734	-	(1,956)	2,778	(1,956)	(41.3)
Education and Skills	27,933	-	(13,285)	14,648	(13,285)	(47.6)

B.15 The 2017/18 capital outturn for **Family Services** shows slippage of £1.956m.

- There have been delays to the Youth Scheme project with planning taking longer than expected, resulting in slippage of £0.300m.

- A delay in the planning application for a children's home scheme has resulted in slippage of £0.140m.
- The early education and childcare place sufficiency project slippage of £0.195m will be used for three projects to be completed in 2018/19.
- In Family services Estates, the majority of spend relating to building compliance, repairs and maintenance, health and safety and disabled access works will occur in 2018/19, resulting in slippage of £1.150m.

Progress on key activities

B.16 The effective safeguarding of vulnerable children and young people remains at the heart of what the council does; and this commitment will not change as local services evolve. The Commissioning Plan outlines the council's vision to make Barnet the most family-friendly borough in London by 2020 and to embed a resilience-based model of practice to identify issues early and support families to build their resilience. A progress update on key activities has been provided below.

Family Services

- **Children's Services Improvement Plan** - Ofsted inspected the council's services for children in need of help and protection and children looked after between 25 April and 18 May 2017, the Barnet Safeguarding Children Board (BSCB) was also inspected. The full Ofsted Inspection Report was published on 7 July 2017; Ofsted gave Barnet Children's Services an overall judgement of 'Inadequate'; the BSCB was also judged to be 'Inadequate'. In response to the recommendations and areas for improvement identified by Ofsted, the Barnet Children Services Improvement Action Plan was developed and implemented. The Department for Education (DfE) confirmed on 31 October 2017 that 'the plan satisfactorily reflects the recommendations and priorities of the inspection report'.

The Improvement Plan has two elements of improvement planning, a turnaround priority and seven improvement themes:

1. Turnaround priority: To drive sustainable Practice Improvement at pace

Improvement themes

2. Governance Leadership, and Partnership
3. Embedding Practice Leadership
4. Right interventions, right time (Thresholds)
5. Improving Assessment for children
6. Improving Planning for children
7. Effective Communications and Engagement to drive culture change that will improve children's lives

Progress against the Ofsted Improvement Action Plan is reported to members via the Children, Education and Safeguarding Committee bi-monthly. All reports taken to committee since the Single Inspection can be found online at <https://barnet.moderngov.co.uk/ieListMeetings.aspx?Committeeld=697>.

Since the publication of the Ofsted report in July 2017, inspectors have since returned to undertake three monitoring visits. These focused on:

- Visit 1 (November 2017) - 'Front door' arrangements within the MASH and Intervention and Planning Teams
- Visit 2 (January 2018) - 'Front door' arrangements in the MASH, Duty & Assessment Teams and Intervention and Planning Teams

- Visit 3 (April 2018) - Vulnerable adolescents (child sexual and criminal exploitation and missing children)

Following each visit, inspectors have confirmed that the pace of change within Barnet has been remained proportionate. In the most recent visit, inspectors noted that there was continued progress and consolidation of recent improvements seen in the first monitoring visit; they reported that senior leaders and managers are appropriately focused on embedding the cultural change required to improve and embed good social work practice. Inspectors found:

- Better establishment of improved quality assurance processes and an increase in permanent staffing
- Expertise and support being provided to senior leaders by the improvement board and local authority partner to appropriately monitor the pace and implementation of improvements to services
- Less case work of an inadequate standard than on previous monitoring visits, and most children were being appropriately safeguarded.

There is a need to ensure the workforce is skilled in order for children to receive a good or better service, and for children's services to be graded as such when next inspected. A programme of workforce development has been developed and implemented since the inspection which focuses on practitioners being equipped with the tools and frameworks they need to deliver consistently good social work practice, and which is cross cutting across the improvement plan turnaround priority And improvement themes.

This Programme has included:

- The appointment of a Practice Development Team to ensure that good practice is modelled and skills developed
- Closely aligning The Quality Assurance Framework to the Workforce Development Programme and performance data
- A Workforce Development Programme that entails thematic, regular monthly case file and live practice observation audits and multi-agency audits undertaken by a QA team, Team Managers and relevant partners
- Focused work with Team Managers to help them develop their understanding and use of performance data so they can identify areas of weakness and strengths in order to drive necessary improvements in practice
- Delivering a responsive quality assurance and performance framework that enables Barnet to respond to emerging needs and trends.

These approaches are beginning to have a positive effect on staff. Ofsted recognised the training offer, morale and effective Quality Assurance mechanisms. This is also being reflected in a shift from predominately inadequate work to more work which requires improvement in April 2018.

The pace of change within Barnet has remained consistent and focused, with inspectors noting that it is beginning to raise practice standards. It has been recognised however, that senior leaders are aware that there are still areas of challenge before practice is of an overall good standard.

Note: Where the Ofsted inspection focused on the *quality* of social work practice, the indicators reported for Family Services below are more *process* driven and include data on take-up of services, placements and costs of provision.

- **Tackling gang activity** – the REACH (Resilient, Engaged, Achieving Children) team was formed in 2017/18 to work with young people to reduce their risk of, and vulnerability to, engaging in gangs, serious youth violence, child sexual exploitation, missing episodes and related vulnerabilities. The team is now embedded into standard practice, as part of the Intervention and Planning Service. The service works closely with the Targeted Youth Service who lead on gang prevention and positive activities for young people, alongside the Voluntary and Community Sector. Met Police figures on knife injury victims under 25 years old show a slight reduction of 2.1 per cent (47 from 48 last year)²⁴. REACH is building pathways to facilitate ‘step-down’ support for young people who reach 18 years and can no longer be supported by REACH. A procurement process for the 2018/19 delivery of REACH interventions and school prevention work has been completed and service delivery linked to that procurement began in April 2018.

Education and Skills

- **Ensuring the attainment and progress of children in Barnet schools remains in the top 10% nationally** - results for the national examinations and assessments that took place across the early years, primary and secondary phases in the summer 2017 were published last quarter. Most annual targets relating to school and pupil performance were met, including school inspections (95 per cent of schools were rated good or outstanding); primary school attendance (96.2 per cent, an increase from 95.9 per cent last year); and pupils achieving a good level of development in the Early Years Foundation Stage was above average. On the headline measure of pupils achieving the expected standard in reading, writing and mathematics, Barnet was ranked 16th (just outside the top 10%); and the progress of pupils between Key Stages 1 and 2 in all subjects was above average. The Key Stage 4 (GCSE) attainment and progress results were in the top 5% (5th for Attainment 8 and 3rd for Progress 8) and for disadvantaged pupils (eligible for free school meals and looked after children) in the top 10% (10th for Attainment 8 and 15th for Progress 8). Areas noted for improvement included Key Stage 2 English writing and the achievement of disadvantaged pupils and pupils with an Education, Health and Care Plan at Key Stage 2.

Performance indicators

Family Services

B.17 One indicator in the Corporate Plan has not met the annual target and two indicators (the latter) in the CES Commissioning Plan have not met the annual target.

- **FS/S7 Percentage of free entitlement early years places taken up by parents/carers that are eligible for a place (RAG rated RED)** – 56.3% against annual target of 70%. Brokerage staff work closely with the children's centres who hold regular events to engage parents and enable eligible two year olds to access their entitlement. This remained a challenging agenda and at the London Head of Early Years meeting it was reported that all boroughs had seen a dip in eligible families accessing their entitlement due to the focus being on the 30 hours offer for three and four year olds, which was launched in September 2017.

²⁴ Source: Met Police, 47 (April 2017 to March 2018) and 48 (April 2016 to March 2017)

- **FS/S11 Percentage of children in external residential placements (RAG rated RED)** - 11.3% against annual target of 8.8%.
- **FS/C15 Young offenders in education, training or employment (RAG rated RED AMBER)** – 45.4% against annual target of 48% (London average).

Education and Skills

B.18 One indicator in the Corporate Plan has not met the annual target and five indicators (the latter) in the CES Commissioning Plan have not met the annual target.

- **CES/S24 Percentage of primary pupils achieving the ‘expected standard’ in English Reading, English Writing and Mathematics (combined) at the end of Key Stage 2 (RAG rated GREEN AMBER)** – 69%; rank 16 out of 152 local authorities, which is just outside the top 10%. This indicator was reported in Q3 2017/18. To have achieved the top 10% (rank 15), a result of 70% was required. 11 local authorities were jointly ranked 11th (Harrow, Lambeth, Newham, Warrington and Wokingham). The top result (rank 1) was 88% in the City of London (where one school). This was followed by three local authorities with 76% (Bromley, Kensington and Chelsea, and Richmond). The bottom result was 35% in the Isles of Scilly (where one school). This was followed by Peterborough with 52%.
- **CES/S9 Primary pupils’ average progress in English Writing (RAG rated RED)** – 0.4; rank 54 out of 152 local authorities. This indicator was reported in Q3 2017/18. There remain doubts nationally about the validity of national comparisons because of inconsistencies in moderation of teacher assessments across the country. Nonetheless this is a key priority in the school improvement strategy and schools with poor progress and attainment in writing are receiving targeted support. Average performance has improved from 0.3 to 0.4, which is reflected in an improved ranking from 71 to 54. To have achieved the top 10% (rank 15), a result of 1.4 was required. Four local authorities were jointly ranked 12th (Greenwich, Hounslow, Sunderland, and Tower Hamlets). The top result (rank 1) was 2.6 in Newham. The bottom result was -10.1 in the Isles of Scilly (where one school). This was followed by West Sussex with -2.5.
- **CES/S11-1 Percentage of disadvantaged pupils achieving the ‘expected standard’ in English Reading, English Writing and Mathematics (combined) at the end of Key Stage 2 (RAG rated RED)** – 55%; rank 20 out of 152 local authorities. This indicator was reported in Q3 2017/18. Barnet’s ranking for all pupils moved from 24 to 16 and a similar improvement has occurred in relation to disadvantaged pupils, with the ranking moving from 25 to 20 and the percentage achieving the expected standard improving from 46% to 55%. To have achieved the top 10% (rank 15), a result of 58% was required. One local authority was ranked 15th (Havering). The top result (rank 1) was 69% in Newham. The bottom result was 34%, with two local authorities jointly ranked 149th (Bedford and Cambridge). A couple of local authorities have not published results.
- **CES/S15 Average Attainment 8 score of looked-after children (RAG rated GREEN AMBER)** – 18.6 against annual target of 19.3 (London average). Barnet performed above statistical neighbours, but slightly below the London and national averages. This was a slight decline on last year. However, the rank position rose to 83rd from 115th last year. As the range nationally is fairly narrow and size of the cohorts small (27 for Barnet), small changes within a local authority can result in a large change in ranking.

- **CES/S26 Percentage of pupils with an Education, Health and Care Plan or statement of special educational needs achieving the 'expected standard' in English Reading, English Writing and Mathematics at Key Stage 2 (RAG rated RED)** - 8%; rank 60 out of 152 local authorities. This indicator was reported in Q3 2017/18. This was a very small cohort of pupils (135 in Barnet). As a result, the achievement levels of just two or three pupils can have a dramatic impact on national rankings. Achievement of disadvantaged pupils and other vulnerable groups (including pupils with special educational needs) is a priority for improvement in the school improvement strategy and work is being undertaken with schools to promote best practice to eliminate differences in the performance of groups of pupils. To have achieved the top 10% (rank 15), a result of 13% was required. Four local authorities were ranked 15th (Kingston upon Hull, Cambridgeshire, Haringey and Merton). The top result (rank 1) was 37% in Westminster. The bottom result was 2% in Manchester (ranked 140th). 12 local authorities have not published results.
- **CES/S27-2 Average Progress 8 score for pupils with pupils with an Education, Health and Care Plan or statement of special educational needs (RAG rated RED)** -0.79; rank 24 out of 152 local authorities. To have achieved the top 10% (rank 15), a result of -0.71 was required. Two local authorities were ranked 15th (Harrow and Slough). The top result (rank 1) was -0.45 in Rutland. The bottom result was -1.69 in Knowsley (ranked 152).

Family Services

Corporate Plan Indicators²⁵

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	FS/C42	Percentage of children newly placed in London Borough of Barnet foster care	Bigger is Better	Apr 2017 - Mar 2018	Monitor	37.4%	New for 2017/18	New for 2017/18	No benchmark available
CPI	FS/C43	Ratio of children subject to CAF:CaN:CP:LAC (per 10,000)	Monitor	Apr 2017 - Mar 2018	Monitor	76.7 179.7 17.0 36.9	New for 2017/18	New for 2017/18	No benchmark available
CPI	FS/S7	Percentage of free entitlement early years places taken up by parents/carers that are eligible for a place	Bigger is Better	Apr 2017 - Mar 2018	70%	56.3% (R)	59.6%	▼ Worsening	No benchmark available
CPI	FS/S15	Percentage of care leavers age 19 – 21 in education, employment or training	Bigger is Better	Apr 2017 - Mar 2018	Above Statistical Neighbours (53.5%)	58% (G)	59.8%	▼ Worsening	Statistical Neighbours 53.5% London 53% England 50% (2016/17, LAIT)

Commissioning Plan Indicators (not met target)²⁶

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
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²⁵ The Monitor indicators have been included for information.

²⁶ The Monitor indicators have been included for information.

Commissioning Plan Indicators (not met target)²⁶

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	FS/S11	Percentage of children in external residential placements	Smaller is Better	Apr 2017 - Mar 2018	8.6%	11.3% (R)	10.4%	▼ Worsening	No benchmark available
SPI	FS/C15	Young offenders in education, training or employment	Bigger is Better	Apr 2017 - Mar 2018	Above London (48%) and national (41%) averages	45.5% (RA)	79.3%	▼ Worsening	London 48% National 41% (Youth Justice Board, 2017)
SPI	FS/C45	Percentage of agency social workers covering vacancies ²⁷	Smaller is Better	Apr 2017 - Mar 2018	Monitor	21.1%	New for 2017/18	New for 2017/18	Statistical Neighbours 28.1% London 28.4% England 16.1% (2016/17, LAIT)
SPI	FS/C17	Number of Children Missing from Care (during reporting period)	Smaller is Better	Apr 2017 - Mar 2018	Monitor	48	82	▲ Improving	No benchmark available
SPI	FS/C19	Number of Children in Care further than 20 miles from borough	Monitor	Apr 2017 - Mar 2018	Monitor	65	79	Monitor	No benchmark available
SPI	FS/C44	Number of times serious incident response protocol triggered (youth violence)	Smaller is Better	Apr 2017 - Mar 2018	Monitor	0	New for 2017/18	New for 2017/18	No benchmark available

²⁷ This indicator measures the percentage of agency social workers in vacant posts against the total number of social workers employed by Family Services.

Commissioning Plan Indicators (not met target)²⁶

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	FS/C46	Actual placement days	Monitor	Apr 2017 - Mar 2018	Monitor	33,813	New for 2017/18	New for 2017/18	No benchmark available
SPI	FS/C47	Average gross cost per placement	Monitor	Apr 2017 - Mar 2018	Monitor	£448.20	New for 2017/18	New for 2017/18	No benchmark available
SPI	FS/C48	Income for joint placements	Monitor	Apr 2017 - Mar 2018	Monitor	£1,878,955	New for 2017/18	New for 2017/18	No benchmark available

Education and Skills²⁸

Corporate Plan Indicators²⁹

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	CES/S1	Percentage of primary schools rated as 'good' or better	Bigger is Better	Apr 2017 - Mar 2018	95.5%	95.4% ³⁰ (G)	95.4%	↔ Same	London 94.3% England 89.7% (January 2018, Watchsted)

²⁸ Statistical Neighbours for education indicators are: Bromley, Ealing, Kingston upon Thames, Hillingdon, Hounslow, Merton, Milton Keynes, Reading, Redbridge, and Sutton.

²⁹ The Monitor indicators have been included for information.

³⁰ When the primary indicator was set, the target of 95.5% of primary schools being good or better meant achieving 86/90 schools at good or better. Average for the year (April 2017 to March 2018) was 83/87 schools. Last year (September 2016 to March 2017) was 83/87.

Corporate Plan Indicators²⁹

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	CES/S3	Percentage of secondary schools rated as 'good' or better	Bigger is Better	Apr 2017 - Mar 2018	95.8%	95.5% ³¹ (G)	95.5%	↔ Same	London 91.3% England 82.6% (January 2018, Watchsted)
CPI	CES/S1 3-1 (Annual)	Average Attainment 8 score ³²	Bigger is Better	Annual – reported in Q3 2017/18	Top 10% in England (=top 15 ranking)	54.7 (Ranked 5 th) (G)	56.1 (Ranked 5 th)	↔ Same	Statistical Neighbours 49.5 London: 48.9 National 46.4 (2016/17, DfE)
CPI	CES/S1 3-2 (Annual)	Average Progress 8 score ²⁷	Bigger is Better	Annual – reported in Q3 2017/18	Top 10% in England (=top 15 ranking)	0.47 (Ranked 3 rd) (G)	0.33 (Ranked 4 th)	▲ Improving	Statistical Neighbours 0.24 London 0.22 National 0.00 (2016/17, DfE)
CPI	CES/S1 8-1	Percentage of 16-17 year olds who are not in education, employment or training	Smaller is Better	Jan 2018 - Mar 2018	London top quartile (2.3%)	1.8%	2.3% ³³	Not comparable	London 1.8% National 2.8% (2018, DfE)
CPI	CES/S2 4 (Annual)	Percentage of primary pupils achieving the 'expected standard' in RWM ³⁴ (combined) at the end of Key Stage 2 ³⁵	Bigger is Better	Annual – reported in Q3 2017/18	Top 10% in England (=top 15 ranking)	69% (Ranked 16 th) (GA)	59% (Ranked 24 th)	▲ Improving	Statistical Neighbours 66.3% London 67% England 61% (2016/17, LAIT)

³¹ When the secondary indicator was set, the target of 95.8% of secondary schools being good or better meant achieving 23/24 schools at good or better. Average for the year (April 2017 to March 2018) was 21/22 schools. Last year (September 2016 to March 2017) was 21/22.

³² For school exam results, the DOT is based on the LEA ranking out of 152 where rank 1 = smallest and best performance. Top 10% in England is the equivalent of a top 15 ranking.

³³ Methodology changed to 16-17 year olds only (16-18 year olds last year). As data not comparable between year's, a RAG rating cannot be applied (as the formula incorporates the DOT)

³⁴ English Reading, English Writing and Mathematics

³⁵ For school exam results, the DOT is based on the LEA ranking out of 152 where rank 1 = smallest and best performance. Top 10% in England is the equivalent of a top 15 ranking.

Commissioning Plan Indicators (not met target)³⁶

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	CES/S9 (Annual)	Primary pupils' average progress in English Writing ³⁷	Bigger is Better	Annual – reported in Q3 2017/18	Top 10% in England (=top 15 ranking)	0.4 (Ranked 54 th) (R)	0.3 (Ranked 71 st)	▲ Improving	Statistical Neighbours 0.46 London 1.00 National 0.00 (2016/17, LAIT)
SPI	CES/S1 1-1 (Annual)	Percentage of disadvantaged pupils achieving the 'expected standard' in RWM ³⁸ (combined) at the end of Key Stage 2 ³⁹	Bigger is Better	Annual – reported in Q3 2017/18	Top 10% in England (=top 15 ranking)	55% (Ranked 20 th) (R)	46% (Ranked 25 th)	▲ Improving	Statistical Neighbours 52.6% London 58% England 48% (2016/17, LAIT)
SPI	CES/S1 1-2 (Annual)	Difference between attainment level of disadvantaged pupils and their peers ('expected standard' in RWM ³² combined) at the end of Key Stage 2 ⁴⁰	Smaller is Better	Annual – reported in Q3 2017/18	Top 10% in England (=top 15 ranking)	-13% ⁴¹	-15% ⁴²	▲ Improving	No benchmark available

³⁶ The Monitor indicators have been included for information.

³⁷ For school exam results, the DOT is based on the LEA ranking out of 152 where rank 1 = smallest and best performance. Top 10% in England is the equivalent of a top 15 ranking.

³⁸ English Reading, English Writing and Mathematics

³⁹ For school exam results, the DOT is based on the LEA ranking out of 152 where rank 1 = smallest and best performance. Top 10% in England is the equivalent of a top 15 ranking.

⁴⁰ For school exam results, the DOT is based on the LEA ranking out of 152 where rank 1 = smallest and best performance. Top 10% in England is the equivalent of a top 15 ranking.

⁴¹ Disadvantaged pupils 55%; national peers 68%. Ranking not available, so no RAG rating.

⁴² Disadvantaged pupils 46%; national peers 61%

Commissioning Plan Indicators (not met target) ³⁶									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	CES/S1 5 (Annual)	Average Attainment 8 score of looked-after children	Bigger is Better	Annual – reported in Q4 2017/18	National average (19.3)	18.6 (GA)	19.5	▼ Worsening	Statistical Neighbours 17.35 London 18.9 National 19.3 (2016/17, LAIT)
SPI	CES/S1 8-2	Combined percentage of 16-17 year olds who are not in education, employment of training and those whose current activity is not known to the local authority	Smaller is Better	Jan 2018 - Mar 2018	London top quartile	3.2%	18.8% ⁴³	Not comparable	National 5.6% London 4.6% (2018, DfE)
SPI	CES/S2 6 (Annual)	Percentage of pupils with an Education, Health and Care Plan ⁴⁴ or statement of special educational needs achieving the 'expected standard' in RWM ³² at Key Stage 2 ⁴⁵	Bigger is Better	Annual – reported in Q3 2017/18	Top 10% in England (=top 15 ranking)	8% (Ranked 60 th) (R)	10% (Ranked 21 st)	▼ Worsening	Statistical Neighbours 9% London 9% England 8% (2016/17, DfE)
SPI	CES/S2 7-2 (Annual)	Average Progress 8 score for pupils with pupils with an Education, Health and Care Plan or statement of special educational needs	Bigger is Better	Annual – reported in Q3 2017/18	Top 10% in England (=top 15 ranking)	-0.79 (Ranked 24 th) (R)	-0.68 (Ranked 18 th)	▲ Improving	Statistical Neighbours -0.89 London -0.88 National -1.04 (2018, DfE)

⁴³ Methodology changed to 16-17 year olds only (16-18 year olds last year). As data not comparable between year's, a RAG rating cannot be applied (as the formula incorporates the DOT).

⁴⁴ Approx. 2,200 children have an Education, Health and Care Plan or statement of special educational needs.

⁴⁵ For school exam results, the DOT is based on the LEA ranking out of 152 where rank 1 = smallest and best performance. Top 10% in England is the equivalent of a top 15 ranking.

Risk management

- B.19 CES risks are held on the Children and Young People and Cambridge Education risk registers. The Cambridge Education risk register includes 23 risks overall. None are high level risks with a residual risk score of 15 or above.
- B.20 The Children and Young People risk register includes 23 risks overall, which are being managed in line with the council's risk management framework. Two are high level risks with a residual risk score of 15 or above. Both are being managed as 'treat'.
- **FS001 - Significant child safeguarding incident (risk score 15)** - risk that inappropriate response or poor decision-making around a case leads to a significant children's safeguarding incident, resulting in increased risk of significant harm or death of a child, and reputational damage; and **FS023 – Delivery of Ofsted Improvement Action Plan (risk score 15)** - risk that the Ofsted Improvement Action Plan is not delivered across the partnership quickly enough, which could lead to outcomes for children, young people and families not improving at the pace required, and also negative monitoring reports and future inspection outcomes. Both risks are being managed by delivery of the Ofsted Improvement Action Plan, which is monitored regularly and overseen by a Board chaired by the Chief Executive. Ofsted monitoring visits took place in November 2017, January 2018 and April 2018; with a fourth monitoring visit due in July 2018. Inspectors noted that satisfactory progress had been made and there was a positive sense of direction. (See STR021 in paragraph A.18 for more information).

ASSETS, REGENERATION AND GROWTH (ARG) COMMITTEE

- B.21 The priorities for ARG Committee are to facilitate the building of more than 20,000 new homes by 2025, as part of several major regeneration programmes, including at Brent Cross, and through brownfield redevelopment; continue to help residents access employment; invest in key town centres and make Barnet the best place in London to be a small business.

Progress on key activities

- B.22 A progress update on key activities has been provided below. Further information on the regeneration programme is set out in Annual Regeneration Report, which is available online at <https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=696&MId=9083&Ver=4>

Summary for year

More new homes are being built in Barnet than any other borough in outer London, helping to create thriving communities. Significant progress has been made in Brent Cross with approval of the shopping centre expansion and the first phase of development in the South. The rail freight facility was also approved. In Colindale, Transport for London (TfL) approved in principle the new tube station and over station development. The extra care schemes at Moreton Close, Stag House and Cheshir House were progressed. And, the transfer of sites for affordable housing commenced to Open Door Homes. Town centre strategies were developed to support local business and a range of employment and skills projects (e.g. BOOST) supported local people into work.

- **Regenerating Brent Cross Cricklewood**

Brent Cross North – the application by Hammerson Standard Life (HSL) for the shopping centre expansion was approved at Planning Committee in October 2017. This was a crucial milestone Brent Cross North and the result of years of consultation and design development. Seasonal works such as tree felling and vegetation clearance began in November 2017. Last quarter, HSL reported a delay to the start of the early and main works due in part to the challenge and delay on the CPO1 and CPO2 decisions. A decision will be made by the High Court in July 2018. As a result, the overall scheme has been delayed by six months until January 2019.

Brent Cross South - the Reserved Matters Application for Plot 12 was submitted in October 2017 and the Phase 1BS application was approved by Planning Committee in February 2018. A temporary open space application was made to ensure an acceptable amount of open space is maintained during the development while work is taking place to improve existing green areas.

Brent Cross Thameslink - the planning application for the rail freight facility was approved in February 2018, whilst the planning application for the waste transfer station was deferred until July 2018. The new station's name will be 'Brent Cross West'. Work is underway with Network Rail to mitigate impacts from Carillion. Discussions with Network Rail to sign the Asset Protection Agreement are nearing completion.

- **Regenerating Colindale** - the Colindale programme continued to take shape with resources agreed to project manage a range of activities from public parks, public realm, highway improvement proposals and a proposed initiative to improve accessibility at Colindale Station.

Subsequent to approval of the application for Montrose and Silkstream parks improvements in the autumn 2017, work has progressed on the Youthzone project and various funding applications have been made.

Transport for London (TfL) approved in principle the new tube station and over station development in January 2018. The Liveable Neighbourhood Bid for Colindale Avenue was re-submitted. An initial meeting to look at the co-ordination of the Colindale Avenue widening scheme has taken place with TfL and Redrow.

Consultation was carried out with key stakeholders on the Controlled Parking Zones (CPZ) required as part of the council office development. The findings of the consultation led to minor changes to the CPZ scheme and it was presented to Hendon Area Committee in February 2018.

A further seven secure tenants from the Grahame Park Concourse moved into the final Plot 6 social rented properties. The Heybourne Park scheme is on hold until remaining issues are resolved. The Mayor of London refused the planning application for Plots 10, 11 and 12, delaying the whole scheme. The GLA and Genesis Housing will draw up a new detailed design for Plots 10 and 11, with an outline design for Plots 12, 13, 14 and 15. Following the Mayor's direction, the council issued a refusal notice paving the way for Genesis to submit an appeal to the Secretary of State.

- **Delivering the Development Pipeline** – the contractor for the 53-unit extra care scheme at Moreton Close reported a delay due to the foundations of the scheme being under-engineered. The scheme will now be completed in December 2018. The Full Business Case for the 50-unit extra care scheme at Stag House was approved in March 2018. The vacant possession of the ground floor commercial property is subject to a court hearing in June 2018. A 75-unit extra care scheme is planned as part of the development of Cheshir House.

The Business Case for the Microsites programme, delivering affordable and specialist housing on smaller scale infill sites across the borough, was approved. Phase 1 will deliver 10 affordable rented homes across four sites, including eight wheelchair accessible bungalows.

Tranche 1 (mixed tenure schemes) sought to deliver 289 new homes of mixed tenure. Planning consent was obtained for the bulk of the new homes in June 2015 with Moxon Street following in November 2016. However, a pre-contract services agreement with Wates concluded in September 2016 when the council opted not to proceed with Wates as the construction contractor. Discussions are continuing with Re in respect of the commercial implications of this decision. Following conclusion of these discussions, a report on the way forward for Tranche 1 will be submitted to ARG Committee.

For Tranche 3 (affordable housing on infill sites), the timely transfer of land to Open Door Homes has been a challenge, delaying progress and resulting in financial costs to the council and TBG. Nine out of 21 sites in Tranche 3 were transferred to Open Door Homes.

- **Helping people into work** – Barnet is part of the West London Alliance (WLA), which is leading on sub-regional work on employment and skills. The WLA Skills, Employment and Productivity Strategy was agreed at the Economic Prosperity Board

in February 2018. The devolved Work and Health programme has been implemented, with Groundwork as the provider in Barnet.

Work to support the roll out of the apprenticeship levy continues. The council has taken on 14 apprentices (against a target of 44). Barnet's community schools have taken on 10 apprentices and Re has taken on 49 apprentices with developers on Barnet's regeneration sites. This has been the first year of the new national apprenticeship framework and while progress has been made, the council is dependent on new apprenticeship standards being developed that are suitable and appropriate to the types of roles and work undertaken by a local authority. Once further apprenticeship standards are developed more opportunities for apprenticeship starts will be available that will better enable the council to achieve its target going forward.

Universal Credit roll out has been confirmed for May 2018. Barnet Homes is working with council partners to ensure that people who are struggling to manage the changes have access to budgeting and digital support alongside help to find work.

A range of employment projects are available to local residents including the BOOST Projects, Skills Escalator, Mental Health and Employment trailblazer and the Work and Health Programme. The BOOST projects have engaged 750 people this year and supported over 180 into work.

- **Investing in key town centres and making Barnet the best place in London to be a small business** - consultations on the Supplementary Planning Document for North Finchley and Golders Green town centres were completed. Plans to 'curate' the town centre in North Finchley progressed with the council approving the proposal to enter into a Land Agreement with developer Jonathan Joseph. Plans are underway to open business workspace in Chipping Barnet, North Finchley and East Finchley in the spring 2018.

TfL successfully bid for almost £10m of Housing Infrastructure Funding to support a commercial and residential scheme at Finchley Church End that will support delivery of the town centre plans.

The fifth round of the Entrepreneurial Barnet competition took place in March 2018. Three finalists from Middlesex University undergraduate, postgraduate and resident categories presented, with a healthy mealtime app 'Mini Mealtimes' winning.

- **Improving planning and enforcement** – the planning service is in the top 10 nationally for both application numbers and planning enforcement activity. The service was shortlisted for 'Team of the Year' in the 2018 Local Government Chronicle Awards demonstrating that improvements have been sustained. The 20 per cent planning fee increase, which came into effect in January 2018, will be used to fund service improvements.

Performance indicators

B.23 One ARG indicator in the Corporate Plan has not met the annual target; and three indicators (the latter) in the ARG Commissioning Plan have not met the annual target.

- **Re/S1 Business survival rate across the borough (number of Barnet businesses surviving for more than 2 years) (RAG rating GREEN AMBER)** – 3.9% against annual target of 6.2%. Barnet's 70.5% business survival rate was a 3.9% points improvement on the 2011 baseline. However, this was short of the 6.2% points

improvement target. Comparable boroughs (Brent, Bromley, Harrow, Havering) recorded an average business survival rate of 76.5%. Several workstream activities supporting the Entrepreneurial Barnet agenda are monitored via an annual plan. This will continue to be reviewed to explore ways that local businesses can be further supported.

- **CG/C35 Average time taken to process requests for Full Official Searches (online and post) in Land Charges (days) (RAG rated GREEN AMBER)** – 3.09 days against annual target 3.0 days. This indicator failed in Q4 2017/18 (3.98 days), which impacted on the annual result. This was due to higher volumes (34% above the monthly average) and the unexpected departure of a key member of staff in February 2018.
- **CG/C24 Running costs of estate (RAG rated GREEN AMBER)** - £5.03m against annual target of £4.47m. The overspend is due to costs incurred for the re-location of Street Scene and Greenspaces services from Mill Hill depot, plus rate, rent and service charge increases and additional security.
- **CG/C26 Barnet council apprenticeships (RAG rated RED)** – 14 against annual target of 44. An additional 10 apprenticeship starts have been created in Barnet's Community Schools. This has been the first year of the new national apprenticeship framework and while progress has been made, the council has been dependent on new apprenticeship standards being developed that are suitable to the roles and work undertaken. The council remains committed to providing apprenticeship opportunities and aims to create more apprenticeship opportunities in 2018/19.

Corporate Plan Indicators⁴⁶

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	KPI001 (A&A)	Compliance with planning application statutory timescales (for major, minor, other applications)	Bigger is Better	Apr 2017 - Mar 2018	75%	85.6% (G)	83%	▲ Improving	No benchmark available
CPI	REGEN KPI01	New homes completed ⁴⁷	Bigger is Better	Apr 2017 - Mar 2018	2,313	1,183 ⁴⁸	2,230	▼ Worsening	No benchmark available
CPI	CG/C25	Income from the estate	Bigger is Better	Apr 2017 - Mar 2018	£3.76m ⁴⁹	£4.05m (G)	£3.72m	▲ Improving	No benchmark available
CPI	Re/S1 (Annual)	Business survival rate across the borough (number of Barnet businesses surviving for more than 2 years)	Bigger is Better	Apr 2017 - Mar 2018	5%pts more than comparable boroughs (6.2%pts)	3.9% ⁵⁰ (GA)	7.6%	▼ Worsening	Comparable boroughs 76.5% (2017, NOMIS)

⁴⁶ The Monitor indicators have been included for information.

⁴⁷ This indicator measures all new homes in the borough (including as part of regeneration schemes and private development schemes).

⁴⁸ This is a provisional result (1,183) as at March 2018, so no RAG rating applied. Further information on completions will be added to the GLA database over the summer; and the final result will be published in the GLA Annual Monitoring Report in May 2019. Last year's result (2,230) is the final result, as published in the GLA Annual Monitoring Report in May 2018.

⁴⁹ Published proposed annual target of £3.37m now finalised as £3.76m.

⁵⁰ This indicator compares Barnet's rate of improvement (from a 2011 baseline) with comparable boroughs (Brent, Bromley, Harrow, Havering). The comparable boroughs business survival rate of 76.5% represents a 1.32% pts improvement on the 2011 baseline position. Barnet's 70.5% business survival rate represents a 3.90% pts improvement on its 2011 baseline. The target represents the achievement of a minimum 6.2% pts.

Corporate Plan Indicators ⁴⁶									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	Re/S3 (Annual)	Reduce the number of "Vacant High Street Properties" across the borough	Smaller is Better	Apr 2017 - Mar 2018	2.5% better than comparable boroughs (5.98%pts)	5.7% ⁵¹ (G)	5.7%	↔ Same	Comparable boroughs 6.78% (2017, NOMIS)
CPI	CG/S27	Percentage of council spend (excluding direct debits) with local businesses	Bigger is Better	Apr 2017 - Mar 2018	Monitor	31%	23%	▲ Improving	No benchmark available
CPI	CG/S1	Unemployment (of people on out of work benefits)	Smaller is Better	Jan 2017 – Dec 2017	Monitor	4.4% (Jan – Dec 2017)	4.9% (Jan – Dec 2016)	▲ Improving	London 5.3%, National, 4.4% (April 2018, (Nomisweb))

Commissioning Plan Indicators (not met target) ⁵²									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking

⁵¹ This indicator compares Barnet's rate of improvement (from a 2011 baseline) with comparable boroughs (Croydon, Havering and Hounslow). The comparable boroughs vacancy rate of 6.78% represents a 5.82% pts improvement on the 2011 baseline position. Barnet's 5.73% vacancy rate represents a 7.57% pts improvement on its 2011 baseline. The target represents the achievement of a minimum 5.98% pts.

⁵² The Monitor indicators have been included for information.

Commissioning Plan Indicators (not met target) ⁵²									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	CG/C35 (KP001 LC)	Average time taken to process requests for Full Official Searches (online and post) in Land Charges (days)	Smaller is Better	Apr 2017 - Mar 2018	3.0	3.09 (GA)	3.0	▼ Worsening	No benchmark available
SPI	CG/C35	Homes started on site through the development pipeline programme	Bigger is Better	Apr 2017 - Mar 2018	Monitor	97	New for 2017/18	New for 2017/18	No benchmark available
SPI	CG/C24	Running costs of estate (designated civic buildings only)	Smaller is Better	Apr 2017 - Mar 2018	£4.47m	£5.03m (GA)	£5.7m	▲ Improving	No benchmark available
SPI	CG/C26	Barnet council apprenticeships	Bigger is Better	Apr 2017 - Mar 2018	44	14 (R)	15	▼ Worsening	No benchmark available

Risk management

B.24 ARG risks are held on the Re joint risk register. This includes 24 risks overall (including regeneration risks), which are being managed in line with the council's risk management framework. None are high level risks with a residual risk score of 15 or above.

HOUSING COMMITTEE

- B.25 The priorities for Housing Committee will be to increase the supply of housing and build more affordable homes through the development pipeline; tackle homelessness through prevention, use of temporary accommodation and housing in the private rented sector; drive up the quality of the private rented sector; and provide suitable housing to support vulnerable people.

Budget outturn

Revenue							
Service	Original Budget £000	Revised Budget £000	Outturn £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move-ments £000	Variance after Reserve Move-ments Adv/(fav) £000	Variance after Reserve Move-ments Adv/(fav) %
Housing Needs and Resources (Barnet Homes)	5,560	6,859	7,763	904	(16)	888	12.9

- B.26 The overspend of £0.888m for **Housing Needs and Resources** represents 12.9% of the total Delivery Unit budget (£6.859m). The overspend reflects the ongoing cost pressures associated with the rising cost of temporary accommodation in the borough set against restrictions on rents that can be charged and remain eligible for housing benefit. Actions have been taken to mitigate this pressure, including purchasing homes on the open market as a cheaper alternative to existing temporary accommodation options, an increase in homelessness preventions and a focus on reducing the use of temporary accommodation. This overspend is after a permanent allocation from contingency of £1.300m.

Capital						
Service	2017/18 Revised Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	2017/18 Outturn £000	Variance from Approved Budget £000	Variance from Approved Budget %
Housing Needs and Resources (Barnet Homes)	20,758	-	(5,605)	15,153	(5,605)	(27.0)
HRA (Barnet Homes)	50,414	196	(1,231)	49,379	(1,035)	(2.1)

- B.27 The capital outturn for **Housing Needs and Resources** shows slippage of £5.605m. The Open Door Homes funding requirements have been reprofiled and the drawdown of £4.882m of the total £10.000m loan will now take place in 2018/19. Within the project to bring empty properties back into use, two properties are in the pipeline but will not complete this year; this has resulted in £0.843m slipping to 2018/19.

- B.28 The **HRA** outturn shows an underspend of £1.035m. This is due to delays in the purchase of four flats as part of the Development Pipeline Stag House project (£1.066m) and the re-cladding of Granville Road not completing until 2018/19 (£1.500m), offset by earlier than expected completion of foundation remedial works at Moreton Close accelerating spend that had previously been slipped (£2.319m).

Progress on key activities

- B.29 With Barnet now having the largest population of any borough in London and continuing to grow, the Commissioning Plan outlines the council's housing priorities (as in paragraph B.25 above). A progress update on the key activities has been provided below.

Summary for year

A continued focus on early intervention and family mediation helped to prevent more people from becoming homeless; whilst the use of temporary accommodation was reduced. However, due to the lack of supply of longer-term temporary accommodation, more people were housed in Emergency Temporary Accommodation for short periods. A focus on quality in the private-rented sector led to increased numbers of licensed HMOs and more landlords achieving accreditation under the London scheme.

- **Building compliance and fire safety** – the Housing Committee approved £17.5m of additional fire safety works to 26 high rise blocks of flats within the borough in October 2017. This included works on the Whitefield Estate (replacement of doors to communal areas and upgrading of rubbish chutes) and Grahame Park Estate (works to ceilings), as well as the replacement of cladding on three blocks at Granville Road (which are due to be installed in May 2018). All works are due to be completed by September 2019.
- **Tackling homelessness** - in January 2018, the Ministry of Housing, Communities and Local Government (MHCLG) evaluated the council's readiness for the Homelessness Reduction Act and concluded that the Housing Options team was well prepared for implementation. Key preparations included transitioning to an 'appointment-only' service; establishing a 'Customer Ready' Team to reduce the administrative burden on specialist frontline officers; recruiting additional staff on the frontline; and implementing a new single homeless pathway, bringing St Mungo's services in-house and increasing provision for single applicants through greater access to prevention and support services. The new Act went live on 3 April 2018.

1,554 homelessness applications were made (compared with 1,583 last year), of which 506 (33 per cent) were accepted (compared with 632 (40 per cent)) last year. Mitigations focusing on early intervention, prevention, family mediation and reduction in the use of temporary accommodation (TA) continued to deliver positive results. Homelessness preventions stand at 1,140 in 2017/18 (compared with 972 last year). The piloted Family Mediation Team saw 88 applicants who faced eviction from family or friends' accommodation for reasons of overcrowding, relationship breakdown and affordability. The Team prevented homelessness in 24 of the 88 cases, and mediation work resulted in only 9 out of the 88 customers moving into TA. Overall numbers in TA reduced to 2,579 (from 2,757 last year). The team prioritised moving customers who were entrenched in Emergency Temporary Accommodation (ETA) and the

average time spent by customers in ETA fell to 38.7 weeks (from 67.8 weeks last year). The let2barnet team procured 644 affordable units in the private rented sector (exceeding target of 575). To further increase affordable supply, 87 'out of London' properties were procured through Phases 1 and 2 of the acquisitions programme.

- **Driving up the quality of the private rented sector** – there are now 710 licensed HMOs in Barnet and 671 landlords accredited under the London Landlord Accreditation Scheme. In December 2017, Policy and Resources Committee approved the introduction of Financial Penalty Notices for landlords contravening relevant offences under the Housing Act 2004. As such landlords may be issued with a penalty notice as an alternative to prosecution for key offences such as failure to licence relevant HMOs, failure to comply with HMO license conditions, failure to manage premises etc. Despite the rapidly increasing number of mandatory HMOs licensed, compliance with major conditions in the higher risk premises has remained above 60%. Landlords have been reminded of their obligation to comply with HMO licensing conditions throughout the licence period or face prosecution or a penalty notice. Landlords have also been updated on the Government's expansion of the mandatory HMO licensing scheme. All properties covered by the new requirements must submit the application by 1 October 2018.

In partnership with Middlesex University and Citizens UK six students were recruited to complete street searches for HMOs around the Middlesex University Campus part time for a six-week period from January to March 2018. The data is being analysed and followed-up in relation to potentially licensable HMOs.

'Empty Property Week' fell in October 2017 and events were organised with Let2Barnet, including drop-ins for people interested in Empty Property Grants, mailshots to solicitors and care homes, leaflets to auction houses and key locations across the borough. 190 empty properties were brought back into use this year.

- **Providing suitable housing to support vulnerable people** – the contractor for the new build extra care scheme at Moreton Close reported a delay due to the foundations of the scheme being under-engineered. Remedial work was undertaken and construction fully recommenced on the remainder of the scheme unaffected by the potential loading issues. This resulted in a delay in completion until December 2018. Clients are being identified to move into the extra care scheme and units are being allocated. A communications plan and information about the service is being developed so that the scheme can be promoted to staff and potential residents.

Performance indicators

B.30 All Housing indicators in the Corporate Plan have met the annual target. However, four indicators in the Housing Commissioning Plan have not met the annual target.

- **BH/C11 Percentage of scheduled fire risk assessments completed in period (RAG rated GREEN AMBER)** – 96.7% against annual target of 100%. 59 out of 61 fire risk assessments were completed on time; two assessments were carried out late due to difficulties accessing the relevant blocks. The assessment procedure has been amended to ensure Barnet Homes is notified immediately when access issues arise so that alternative arrangements can be made. Both fire risk assessments were completed in April 2018.

- **BH/S1 Numbers in Emergency Temporary Accommodation (ETA) (RAG rated RED)** – 244 against annual target of 175. Numbers have risen due to reduced supply of available longer-term temporary accommodation (TA) due to a high volume of properties handed back to the provider and due to reduced procurement of longer-term TA for financial reasons. However, overall numbers in TA reduced for the fourth successive quarter to 2,579 due to focused TA reduction activities, which include providing hand-holding support to assist clients with move-on opportunities. Over the past 12 months the average time spent by clients in emergency TA dropped to 38.7 weeks (from 67.8 weeks last year).
- **BH/S4 Current arrears as a percentage of debit (RAG rated RED)** – 3.3% against annual target of 2.9%. Variance equates to £226k of a £59.5m annual debit; and **BH/C5 Temporary Accommodation (TA) current arrears as percentage of debit (RAG rated RED)** – 5.6% against annual target of 5%. Variance equates to £157k of a £2.8m annual debit. Further actions are being taken to drive improvement, including a new income collection management tool, which will provide increased control on prioritisation of cases in terms of income collection; patch re-design and targeted patches on high arrears cases; a review of the income collection procedure to reduce the level of steps in the collection process and to emphasise the benefits of early intervention; trial of a new approach to the Income Contact Centre management; and a new universal arrears report.

Corporate Plan Indicators ⁵³									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	CG/S6 (RPS – biannual)	Percentage of residents who list affordable housing as a concern ⁵⁴	Smaller is Better	Autumn 2017	Monitor	71% (Autumn 2017)	34% (Autumn 2016)	▼ Worsening	No benchmark available
CPI	REGEN KPI05	Delivery of affordable housing completions	Bigger is Better	Apr 2017 - Mar 2018	112	303 ⁵⁵	474	▼ Worsening	No benchmark available
CPI	Re/S17 (Annual)	Percentage of new homes that are affordable (net)	Bigger is Better	Apr 2017 - Mar 2018	40%	26% ⁵⁶	21%	▲ Improving	Rank 14 (out of 33 London Boroughs) (2017, GLA) ⁵⁷
CPI	BH/S2	Number of homelessness preventions	Bigger is Better	Apr 2017 - Mar 2018	1,050	1,140 (G)	972	▲ Improving	2 nd Quartile (2016/17, DCLG)
CPI	BH/KPI1	Numbers of households in TA	Smaller is Better	Apr 2017 - Mar 2018	2,600	2,579 (G)	2,757	▲ Improving	Rank 29 (out of 33 London Boroughs) (Q3 2017/18, DCLG)

⁵³ The Monitor indicators have been included for information.

⁵⁴ There is a +/-4.4%pts tolerance on the results due to the confidence interval for the sample size (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). This is reflected in the RAG rating and DOT for the indicators in the Corporate Plan and Commissioning Plans.

⁵⁵ This is a provisional result (303) as at March 2018, so no RAG rating applied. The final result will be published in the GLA Annual Monitoring Report in May 2019. Last year's result (474) is the final result, as published in the GLA Annual Monitoring Report in May 2018.

⁵⁶ This is a provisional result (26%) as at March 2018, so no RAG rating applied. The final result will be published in the London Plan AMR for 2017/18. Last year's result (21%) is also a provisional result. The final result will be published in the London Plan AMR for 2016/17.

⁵⁷ The GLA Annual Monitoring Report is published in May each year, prior to the final results being confirmed in the summer. Therefore, the benchmarking refers to the final results published in the previous summer (summer 2016) for the 2015/16 financial year. Barnet's 2015/16 result was 12%, as published in summer 2016.

Corporate Plan Indicators ⁵³									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	BH/KPI9	Families with children in TA ⁵⁸	Smaller is Better	Apr 2017 - Mar 2018	Monitor	62.9%	New for 2017/18	New for 2017/18	No benchmark available
CPI	EH02I	Compliance with licensing requirements for Houses in Multiple Occupation	Bigger is Better	Apr 2017 - Mar 2018	60%	65.4% (G)	71.6%	▼ Worsening	No benchmark available

Commissioning Plan Indicators (not met target) ⁵⁹									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	BH/C11	Percentage of scheduled fire risk assessments completed in period	Bigger is Better	Oct 2017 – Mar 2018	100%	96.7% (GA)	New for 2017/18	New for 2017/18	No benchmark available
SPI	BH/S1	Numbers in ETA	Smaller is Better	Apr 2017 - Mar 2018	175	244 (R)	149	▼ Worsening	Rank 10 (out of 33 London Boroughs) (Q3 2017/18, DCLG)
SPI	BH/S3	Length of stay in ETA	Smaller is Better	Apr 2017 - Mar 2018	Monitor	38.7 weeks	67.8 weeks	▲ Improving	No benchmark available

⁵⁸ New indicator – target set as Monitor for 2017/18 whilst baseline identified.

⁵⁹ The Monitor indicators have been included for information.

Commissioning Plan Indicators (not met target)⁵⁹

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	BH/C2	Percentage of those households in ETA pending enquiries or found to be intentionally homeless	Smaller is Better	Apr 2017 - Mar 2018	Monitor	50.0%	28.9%	▼ Worsening	Rank 8 (out of 23 London Boroughs (Q3 2017/18, DCLG)
SPI	BH/S4	Current tenant arrears as a percentage of the annual rent debit	Smaller is Better	Apr 2017 - Mar 2018	2.9%	3.3% (R)	3.0%	▼ Worsening	3 rd Quartile (Q3 2017/18, Housemark)
SPI	BH/C5	TA current arrears as percentage of debit	Smaller is Better	Apr 2017 - Mar 2018	4.95%	5.64% (R)	5.36%	▼ Worsening	No benchmark available
SPI	CG/S21	Delivery of 10% affordable homes as wheelchair or accessible units	Bigger is Better	Apr 2017 - Mar 2018	Monitor	0% ⁶⁰	11.5%	▼ Worsening	No benchmark available

Risk management

B.31 Housing risks are held on The Barnet Group joint risk register. This includes nine risks overall, which are being managed in line with the council's risk management framework. None are high level risks with a residual risk score of 15 or above.

⁶⁰ No wheelchair or accessible units were completed in 2017/18, as part of the Tranche 3 affordable housing programme. The full scheme of 323 units is due to be completed in Q3 2018/19, of which 32 units (10%) will be wheelchair accessible. Three units out of 26 completions were wheelchair/accessible last year.

ENVIRONMENT COMMITTEE

B.32 The priorities for Environment Committee are parks and open spaces; recycling and waste collection; street cleaning and enforcement; parking and highways management.

Budget outturn

Revenue							
Service	Original Budget £000	Revised Budget £000	Outturn £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move-ments £000	Variance after Reserve Move-ments Adv/(fav) £000	Variance after Reserve Move-ments Adv/(fav) %
Parking and Infrastructure	9,155	9,443	8,718	(725)	(924)	(1,649)	(17.5)
Street Scene	12,881	13,794	14,203	409	(309)	100	0.7

B.33 The underspend of £1.649m for Parking and Infrastructure represents 17.5% of the total Delivery Unit budget (£9.443m) and is primarily due to an underspend on the North London Waste Authority (NLWA) levy and planning policy. Street lighting is also underspent due to lower than budgeted energy costs and there was an overachievement of income from off street parking and abandoned vehicles.

The overspend of £0.100m for the **Street Scene** service represents 0.7% of the total Delivery Unit budget (£13.794m). The service has a number of variances both favourable and adverse which broadly equal out to leave a residual variance of £0.100m overspend.

Capital						
Service	2017/18 Revised Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	2017/18 Outturn £000	Variance from Approved Budget £000	Variance from Approved Budget %
Parking and Infrastructure	2,247	(11)	(314)	1,922	(325)	(14.5)
Street Scene	3,293	(5)	(2,389)	899	(2,394)	(72.7)

B.34 The capital outturn for Parking and Infrastructure shows a variance from budget of £0.325m.

B.35 The capital outturn for **Street Scene** shows a variance from budget of £2.394m due to purchases of vehicles and equipment moving into 2018/19.

Progress on key activities

B.36 Barnet is a green and leafy borough and this is one of the reasons people want to live here. The council is modernising environmental services to help keep the environment green, clean and safe; whilst delivering highways improvement and investing in parks and open spaces. A progress update on key activities has been provided below.

- **Modernising environmental services** - the modernisation of Street Scene services has been supported by a series of transformation projects, focused on a new service offer for street cleansing, increased income via commercial recycling services and in waste collection by introduction a trial of time-banded collections, and environmental enforcement and education. A service-wide restructure took place to facilitate the rationalisation of staffing structures and service operations; and appointments were made to Assistant Director, Head of Service and Managerial posts.

The final planning for the new street cleansing model was completed, and the first of the new types of vehicles were rolled-out in January 2018. The seven orange glutton machines will be located in Barnet's town centres, with an additional machine targeting hotspot areas across the borough. The new machines are part of the council's £600k investment in new-generation equipment, which also includes new mechanical sweepers which have now arrived and are working throughout the borough.

The commercial waste service continued to expand with some larger contracts secured. The service is provided on the pre-payment of charges, which reflect the volume, type and frequency of the collection required. A variety of bin sizes (240, 360, 660 and 1100 litres) as well as a Pay-As-You-Go bag service are available. Sales of the bags have significantly increased in the last year.

- **Delivering highways improvements** – substantial volumes of work were completed for Year 3 (2017/18) of the Network Recovery Programme (NRP), including footway and carriageway re-surfacing at a cost of c.£7m. Year 4 (2018/19) of the NRP was approved by Environment Committee in March 2018 for £7.2m. The Proactive Patching programme covered 10,261 square metres (149 roads), repairing 872 potholes and surface defects at a cost of c.£350k before they worsened and presented a greater risk to Highway users.

In July 2017, Category 1 and 2 responsive repairs were transferred from the DLO to Conway Aecom. IT and resource issues impacted on performance throughout the year; of which some issues remain unresolved. The council is finalising an action plan with the contractor to ensure all known issues are captured and resolutions are agreed going forward.

The winter gritting service across highways and footways performed extremely well in challenging conditions. The harsh winter conditions resulted in a large number of potholes and areas of road surface degradation during the late winter period and additional resources have been deployed to deal with the backlog of reactive works. It is anticipated that these works will be completed by the end of July 2018.

- **Investing in parks and open spaces** – a Steering Group including representatives of the England and Wales Cricket Board, England Hockey, Football Association, Lawn Tennis Association, Rugby Football Union and Sport England was set up to monitor and review the delivery of recommendations in the Playing Pitch Strategy.

The outline Copthall Sports Hub and Mill Hill Open Spaces Masterplan was considered by Environment Committee in March 2018. Consultation will now commence and the outcomes reported to Environment Committee later in 2018, along with the Outline Business Case for development and operation.

Consultants were appointed for the improvements works to Victoria Park, with work due for completion in July 2018. The tender exercise for development of outline masterplans and cost estimates for the Sports Hubs at West Hendon Recreation Ground and Barnet/King George V Playing Fields was completed and consultants appointed. The consultants' reports will be delivered in September 2018. The tendering of the masterplanning of the North West Green Belt sites were postponed until completion of the Green Belt Sites Review in September 2018. Work on the tender pack for the refurbishment of Montrose Playing Field and Silkstream Park, Colindale Park and Rushgrove Park is nearing completion.

- **Delivering regulatory services** – see EOY 2017/18 Contracts Performance Report for an update on services delivered by the Re contract.

Performance indicators

B.37 Two Environment indicators in the Corporate Plan have not met the annual target; and three indicators (the latter) in the Environment Commissioning Plan have not met the annual target.

- **KPI 2.1-2.3 NM Highways defects made safe within agreed timescales (RAG rated RED)** – 81.6% against annual target of 100%. The work previously carried out by the DLO was transferred to Conway Aecom in July 2017. There have been ongoing IT and resource issues with the contractor and Re has initiated process improvements with Conway Aecom, which should contribute to improvements in future performance.
- **SS/S3 Percentage of household waste sent for reuse, recycling and composting (RAG rated RED)** – 36.1% against quarterly target of 41.9%. There has been a slight drop in performance from the same time last year (36.7%) due to a decrease in kerbside dry co-mingled tonnages and food waste tonnages. Performance is unlikely to improve without changes to services and/or supporting policies that promote diversion of waste from disposal.
- **SS/C1 Waste tonnage – residual per household (RAG rated GREEN AMBER)** – 152kg per household against quarterly target of 142.8kg. There has been a very small decrease in the tonnage collected per household compared to the same time last year, which is not significant. Performance is unlikely to improve without changes to services and/or supporting policies that promote diversion of waste from disposal.
- **SS/C2 Waste tonnage – recycling per household (RAG rated RED)** – 85.8kg per household was recycled against quarterly target of 103.25kg. There has been a small decrease in the tonnage recycled per household compared to the same time last year. Performance is unlikely to improve without changes to services and/or supporting policies that promote diversion of waste from disposal.
- **TSLKPI02 Appropriate response to statutory deadlines in relation to the Licensing and Gambling Act (RAG rated GREEN AMBER)** – 99.9% against annual target of 100%. 1,107 out of 1,108 applications were responded to on time. This was a failure based on a technicality. One application was delayed in October 2017 due to the consultation not being sent out within the statutory timescales. However, the notification was sent with ample time to allow consultees to respond.

Corporate Plan Indicators ⁶¹									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	SS/S1 (RPS – biannual)	Percentage of residents who are satisfied with parks and open spaces ⁶²	Bigger is Better	Autumn 2017	73%	77% (Autumn 2017) (G)	72% (Autumn 2016)	▲ Improving	No benchmark available
CPI	SS/S6 (RPS - biannual)	Percentage of residents who are satisfied with street cleaning ⁵⁹	Bigger is Better	Autumn 2017	60%	60% (Autumn 2017) (G)	51% (Autumn 2016)	▲ Improving	National 70% (June 2017, LGA)
CPI	KPI NM 2.1-2.3	Highways defects made safe within agreed timescales	Bigger is Better	Apr 2017 - Mar 2018	100%	81.6% (R)	99.9%	▼ Worsening	No benchmark available
CPI	CG/S11 (RPS - biannual)	Percentage of residents who are satisfied with road maintenance ⁵⁹	Bigger is Better	Autumn 2017	35%	42% (Autumn 2017) (G)	33% (Autumn 2016)	▲ Improving	National 39% (June 2017, LGA)
CPI	CG/S12 (RPS - biannual)	Percentage of residents who are satisfied with pavement maintenance ⁵⁹	Bigger is Better	Autumn 2017	35%	39% (Autumn 2017) (G)	34% (Autumn 2016)	▲ Improving	National 54% (June 2017 LGA)
CPI	PI/S3 (RPS - biannual)	Percentage of residents who are satisfied with parking services ⁵⁹	Bigger is Better	Autumn 2017	30%	31% (Autumn 2017) (G)	24% (Autumn 2016)	▲ Improving	No benchmark available

⁶¹ The Monitor indicators have been included for information.

⁶² There is a +/-4.4%pts tolerance on the results due to the confidence interval for the sample size (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). This is reflected in the RAG rating and DOT for the indicators in the Corporate Plan and Commissioning Plans.

Corporate Plan Indicators ⁶¹									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	SS/S3	Percentage of household waste sent for reuse, recycling and composting	Bigger is Better	Oct 2017 - Dec 2017	42% (Q3 2017/18 Target 40.1%)	36.1% (Q3 2017/18) (R)	36.7% (Q3 2016/17)	▼ Worsening	Rank 7 (out of 25 London Boroughs) (Q1 2017/18, Wasteflow)
CPI	SS/S4 (RPS - Biannual)	Percentage of residents who are satisfied with refuse and recycling services ⁶³	Bigger is Better	Autumn 2017	82%	79% (Autumn 2017) (G)	75% (Autumn 2016)	↔ Same	National 77% (June 2017, LGA)

Commissioning Plan Indicators (not met target)									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	SS/C1	Waste tonnage – residual per household	Smaller is Better	Oct 2017 - Dec 2017	604kg HH (Q3 2017/18 Target 149kg HH)	152kg HH (Q3 2017/18) (R)	154kg HH (Q3 2016/17)	▲ Improving	Rank 21 (out of the 25 London Boroughs) (Q1 2017/18, Wasteflow)

⁶³ There is a +/-4.4%pts tolerance on the results due to the confidence interval for the sample size (i.e. if we surveyed the whole population we can be confident that the results would be the same +/-4.4%). This is reflected in the RAG rating and DOT for the indicators in the Corporate Plan and Commissioning Plans.

Commissioning Plan Indicators (not met target)									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	SS/C2	Waste tonnage – recycling per household	Bigger is Better	Oct 2017 - Dec 2017	402kg HH (Q3 2017/18 Target 100kg HH)	86kg HH (Q3 2017/18) (R)	89kg HH (Q3 2016/17)	▼ Worsening	No benchmark available
SPI	TSL KPI02	Appropriate response to statutory deadlines in relation to the Licensing and Gambling Act	Bigger is Better	Apr 2017 - Mar 2018	100%	99.9% (GA)	100%	▼ Worsening	No benchmark available

Risk management

B.38 Environment risks are held on the Environment risk register, which now incorporates Parking and Infrastructure risks. The Environment risk register includes 43 risks, which are being managed in line with the council's risk management framework. One is a high level risk with a residual risk score of 15 or above. This is being managed as 'treat'.

- **PI014 - Winter Service (risk score 15 – increased from 12).** The council operates ten gritting routes. There is a risk that it may be unable to serve three of the eastern routes due to relocation of the service to Harrow, which has increased travelling times from the depot to the priority gritting routes. This risk has increased following the snow falls in December 2017. The agreement with Highways England for Barnet to use the Gateway Services site did not fully mitigate the risk due to access to the site being blocked. Mitigating actions focused on ensuring that decisions and deployment were carried out in a timely manner, including pre-loading vehicles and pacing them at the start of routes, ahead of deployment. Efforts have been made to relocate the Winter Gritting Service to a new site within Barnet, which will have good access to all priority routes.

COMMUNITY LEADERSHIP AND LIBRARIES COMMITTEE

B.39 The priorities for Community Leadership and Libraries (CLL) Committee are to co-ordinate a partnership approach for addressing persistent anti-social behaviour, crime, domestic violence (DV) and violence against women and girls (VAWG); emergency planning, preparedness and response; and supporting community activity, including grant funding and use of assets.

Budget outturn

Revenue							
Service	Original Budget £000	Revised Budget £000	Outturn £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move- ments £000	Variance after Reserve Move- ments Adv/(fav) £000	Variance after Reserve Move- ments Adv/(fav) %
Libraries	3,219	3,465	3,576	110	(3)	107	3.1

Capital						
Service	2017/18 Revised Budget £000	Additions/ (Deletions) £000	(Slippage)/ Accelerated Spend £000	2017/18 Outturn £000	Variance from Approved Budget £000	Variance from Approved Budget %
Libraries	5,817	(648)	(376)	4,793	(1,024)	(6.5)

- Libraries building compliance costs have been transferred to the Family Services Estates budget. Slippage of £0.373m will be used for final works and retention payments in 2018/19.

Progress on key activities

B.40 The council's vision for the community is to ensure crime levels remain low and people feel safe to live and work in Barnet; communities are stronger and more cohesive; whilst being prepared for an emergency and responding quickly should a situation arise. A progress update on the key activities has been provided below.

- Community safety** – Barnet remains one of London's safest boroughs with a low crime rate. In the last 12 months (to February 2018) there were 69.7 crimes per 1,000 residents in Barnet, which was the 8th lowest rate of total crime per person out of all 32 London boroughs and 27 per cent lower than the London average. The rate of violent crime is even lower: Barnet had the 2nd lowest rate of violent crime out of the 32 London boroughs, with 5.8 Violence with Injury offences per 1,000 population. This rate is 34 per cent below the London average.

In the current rolling 12 months (to February 2018) there were 3,547 burglaries, which is a nine per cent increase on the previous year. Overall during this period Barnet has had the 11th highest rate of burglary out of the 32 London Boroughs. To reduce

burglary, the Safer Communities Partnership significantly expanded its Automatic Number Plate Recognition (ANPR) camera coverage of the borough. The details of over 500 vehicles linked to convicted burglars have been uploaded to the system, providing the police with live information to help prevent burglaries and catch and convict burglars.

In addition, the Barnet Safer Communities Partnership has launched the OWL (Online Watch Link) app for Barnet, and thousands of residents signed up. Residents who sign up receive the latest crime prevention advice and updates from their Neighbourhood Policing Team and Neighbourhood Watch. The OWL app helps communities feel safer, reduce crime and keep people informed of what's going on locally.

- **Supporting those with multiple needs (domestic violence, mental health, and substance misuse)** - the Safer Communities Partnership Board has been implementing the 2017-2020 Violence Against Women and Girls (VAWG) strategy and action plan. As part of the work to prevent violence against women and girls, during the last 12 months, 220 Domestic Abuse⁶⁴ cases were assessed at the multi-agency Domestic Violence MARAC group and intervention plans put in place. In addition, the partnership has been working to hold perpetrators to account. During the same period, over 300 perpetrators were arrested and charged for Domestic Abuse offences.

As part of the joint project between the council and Barnet Mencap, the Hate Crime Awareness Co-ordinator has been raising awareness of Hate Crime and ensuring people who live, work or study in Barnet are confident in reporting Hate Crime; as well as improving access to justice for victims of hate crime.

- **Co-ordinating a package of measures to support community activity** – an evaluation of the Community Participation Strategy was undertaken by the Community Participation and Engagement Network. The Barnet Community webpage was launched on the council's website, providing a one-stop-shop of information for residents and businesses about community activity.

A new volunteer policy and volunteer management toolkit were published. Volunteer opportunities, including the Employee Supported Volunteering Scheme, were promoted as part of Volunteers Week in June 2017. The impact of campaign work was reflected in the Residents' Perceptions Survey (Spring 2017), which showed that 30 per cent of residents volunteered regularly (up from 23 per cent in Spring 2016). Barnet's crowdfunding platform, Barnet Together, launched in July 2017.

Local Voluntary and Community Service (VCS) groups fed back on the VCS Charter; and the Community Participation and Engagement Network has been mainstreaming it into council business and commissioning.

- **Emergency planning, preparedness and response** – the Counter Terrorism team provided training to staff and Members on what to do should they be caught up in a terrorist incident.

⁶⁴ The term 'Domestic Violence' has been broadened to 'Domestic Abuse' and now includes emotional and coercive control, which is not always violent.

A 'Move to Critical' exercise was held in May 2017 for Business Continuity (BC) leads and BC plans were reviewed. A further exercise was held in November 2017, which focused cyber security. BC plans were updated to ensure critical services can be maintained in the event of a cyber-attack.

The multi-agency Barnet Resilience Forum (BRF) has met throughout the year to plan, prepare and exercise together to ensure effective response during emergencies. The most recent meeting covered organisational updates from partners and review of the BRF Business Plan and updated Borough Risk Register.

The Barnet Emergency Response team has supported local, live, multi-agency exercises along with faith and voluntary groups from the local community and, when required, have mobilised timely and effective responses to a series of emergency incidents within the borough in support of the Police and Fire Brigade.

The council assisted the London Borough of Kensington and Chelsea and London Borough of Camden in the wake of the Grenfell Tower incident with mutual aid to support the Emergency Control Centre, Rest Centres, Local Authority Liaison function and provided volunteers, Housing Assessment and Social Work staff to the Grenfell Assistance Centre. The Emergency Planning team were involved in the debrief and feedback from this incident, including identifying lessons to be learned by local authorities and other agencies.

Barnet submitted a self-assessment to London Resilience for the 'Minimum Standards for London Audit' and maintained its Green rating against these standards.

- **Libraries Transformation** – all libraries were re-opened following refurbishment and re-configuration works, with self-service technology in place. Fire risk assessments undertaken by the Health and Safety Executive (HSE) identified no issues. Over 25,000 customers have now registered for self-service opening. Plans are being developed to extend the opening hours from early summer, starting with the four Core Plus sites. A recruitment campaign to increase the number of volunteers supporting the library service has started with a focus on support provided during staffed hours.

The procurement process for the new Library Management System has been completed and a preferred supplier identified. A project board will be established shortly to oversee the implementation of this new system which is estimated to take five months.

Earlier in the year, the council was notified by the Minister for Arts, Heritage and Tourism that the Department for Digital, Culture, Media and Sport (DCMS) was treating concerns raised in December 2016 by Barnet residents regarding the changes to Barnet's library service as a formal complaint under Section 10 (1) (a) of the Public Libraries and Museum Act 1964. It is important to note that the decision by the DCMS to treat the correspondence as a formal complaint is not an assessment of whether the council is failing in its duties relating the provision of public library services. The Secretary of State invited further representations from the public, which were required by 2 February 2018. In the last quarter, a detailed response was provided to further questions raised by the DCMS and the final outcome of their investigations is expected shortly.

Performance indicators

B.41 Two Community Leadership and Libraries indicators in the Corporate Plan have not met the annual target. One indicator (the latter) in the Community Leadership and Libraries Commissioning Plan has not met the annual target.

- **CG/S4 Public confidence in police and council in dealing with anti-social behaviour and crime issues that matter in their area (RAG rated RED)** – 60% against a target of 68%. This was an autumn 2017 survey indicator reported in Q3 2017/18. Public confidence fell from autumn 2016 (67%). An increased concern about anti-social behaviour and crime reflected the national picture.
- **CG/S16 Percentage of residents who are satisfied with Barnet as a place to live (RAG rated GREEN AMBER)** – 85% against a target of 90%. This was an autumn 2017 survey indicator reported in Q3 2017/18. Residents' satisfaction was unchanged from autumn 2016 (85%).
- **CG/C6 Percentage of residents who feel that there is not a problem with people not treating each other with respect and consideration (RAG rated GREEN AMBER)** – 74% against a target of 81%. This was an autumn 2017 survey indicator reported in Q3 2017/18. There was a significant improvement from spring 2016 (60%) when the result was considered to have been influenced by negative national events.

Corporate Plan Indicators⁶⁵

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	CG/C33	Overall crime rate in Barnet – Total Notifiable Offences	Smaller is Better	Apr 2017 - Mar 2018	Sustain Reduction	71.8 ⁶⁶	New for 2017/18	New for 2017/18	No benchmark available
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 ⁶⁷	Bigger is Better	Autumn 2017	68%	60% (Autumn 2017) (R)	67% (Autumn 2016)	▼ Worsening	No benchmark available
CPI	CG/S5 (RPS – Annual)	Percentage of residents who report feeling they belong to their local area ⁶⁴	Bigger is Better	Autumn 2017	75%	75% (Autumn 2017) (G)	76% (Autumn 2016)	↔ Same	No benchmark available
CPI	CG/S9 (RPS - Annual)	Percentage of residents that volunteer at least once a month ⁶⁴	Bigger is Better	Spring 2017	29%	30% (Spring 2017) (G)	23% (Spring 2016)	▲ Improving	No benchmark available
CPI	CG/S10 (RPS - Annual)	Percentage of residents who agree that people pull together to help improve their area ⁶⁴	Bigger is Better	Spring 2017	54%	51% (Spring 2017) (G)	52% (Spring 2016)	↔ Same	No benchmark available

⁶⁵ The Monitor indicators have been included for information.

⁶⁶ 71.8 per 1000, 12 months to 31 March 2018.

⁶⁷ There is a +/-4.4%pts tolerance on the results due to the confidence interval for the sample size (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). This is reflected in the RAG rating and DOT for the indicators in the Corporate Plan and Commissioning Plans.

Corporate Plan Indicators⁶⁵

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
CPI	CG/S16 (RPS – Biannual)	Percentage of residents who are satisfied with Barnet as a place to live ⁶⁸	Bigger is Better	Autumn 2017	90%	85% (Autumn 2017) (GA)	85% (Autumn 2016)	↔ Same	London 80% (2016/17, LGA) National 81% (June 2017, LGA)

Commissioning Plan Indicators (not met target)⁶⁹

Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	CG/C2	Percentage of repeat cases of Domestic Violence to MARAC	Smaller is Better	Apr 2017 - Mar 2018	Monitor	10.0%	12.8%	▲ Improving	National 25% (April 2015 - March 2016, Safelife)
SPI	CG/C3	Sanction Detection Rate of 'Domestic Abuse - Violence with Injury' Offences	Bigger is Better	Apr 2017 - Mar 2018	Monitor	23.4%	32.4%	▼ Worsening	Met Police 31.8% (January – December 2017, Met Police)
SPI	CG/C4	Proven re-offending rate	Smaller is Better	Apr 2017 - Mar 2018	Monitor	29.1%	20.2%	▼ Worsening	London 28.1% National 28.7% (October – December 2015, Ministry of Justice)

⁶⁸ There is a +/-4.4%pts tolerance on the results due to the confidence interval for the sample size (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). This is reflected in the RAG rating and DOT for the indicators in the Corporate Plan and Commissioning Plans.

⁶⁹ The Monitor indicators have been included for information.

Commissioning Plan Indicators (not met target) ⁶⁹									
Ref		Indicator	Polarity	Period Covered	2017/18 Annual Target	2017/18 EOY Result	2016/17 EOY Result	DOT Long Term (From EOY 2016/17)	Benchmarking
SPI	CG/C27	Racist and Religious Hate Crime	Smaller is Better	Feb 2017 – Feb 2018	Monitor	815	717 (Feb 2016 – Feb 2017)	▼ Worsening	No benchmark available
SPI	CG/C6 (RPS – Annual)	Percentage of residents who feel that there is not a problem with “people not treating each other with respect” ⁷⁰	Bigger is Better	Autumn 2017	81%	74% (Autumn 2017) (GA)	81% (Spring 2016)	▼ Worsening	No benchmark available

Risk management

B.42 Community Leadership and Libraries risks are held on the Customer Strategy, Communications and Assurance (CSCA) service risk register. See paragraph A.19 above.

⁷⁰ There is a +/-4.4%pts tolerance on the results due to the confidence interval for the sample size (i.e. if we surveyed the whole population we can be confident that the results would be the same +/- 4.4%). This is reflected in the RAG rating and DOT for the indicators in the Corporate Plan and Commissioning Plans.

2 REASONS FOR RECOMMENDATIONS

- 2.1 These recommendations are to provide this Committee with the necessary information to oversee the performance of the corporate plan and service and contract performance. This paper enables the council to meet the budget agreed by Council on 7 March 2017.

3 ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED

- 3.1 None.

4 POST DECISION IMPLEMENTATION

- 4.1 None.

5 IMPLICATIONS OF DECISION

5.1 Corporate Priorities and Performance

- 5.1.1 The report provides an overview of performance for the year, including budget outturns for revenue and capital, progress on key activities, indicators that have not met target and management of high level risks, along with information on staffing, customer experience and resident satisfaction, and any variations in CSG and Re contracts.
- 5.1.2 The EOY 2017/18 results for all Corporate Plan and Commissioning Plan indicators are published on the Open Barnet portal at <https://open.barnet.gov.uk/dataset>
- 5.1.3 Robust budget and performance monitoring are essential to ensure that there are adequate and appropriately directed resources to support delivery and achievement of council priorities and targets as set out in the Corporate Plan and Commissioning Plans. In addition, adherence to the Prudential Framework ensures capital expenditure plans remain affordable in the longer term and that capital resources are maximised.
- 5.1.4 Relevant council strategies and policies include the following:
- Corporate Plan 2015-2020
 - Corporate Plan - 2016/17 Addendum and 2017/18 Addendum
 - Commissioning Plans
 - Medium Term Financial Strategy
 - Treasury Management Strategy
 - Debt Management Strategy
 - Insurance Strategy
 - Risk Management Framework
 - Capital, Assets and Property Strategy.
- 5.1.5 The priorities of the council are aligned to the delivery of the Health and Wellbeing Strategy.

5.2 Resources (Finance and Value for Money, Procurement, Staffing, IT, Property,

Sustainability)

5.3 Legal and Constitutional References

- 5.3.1 Section 151 of the Local Government Act 1972 states that: “without prejudice to section 111, every local authority shall make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has responsibility for the administration of those affairs”. Section 111 of the Local Government Act 1972, relates to the subsidiary powers of local authorities.
- 5.3.2 Section 28 of the Local Government Act 2003 (the Act) imposes a statutory duty on a billing or major precepting authority to monitor, during the financial year, its income and expenditure against the budget calculations. If the monitoring establishes that the budgetary situation has deteriorated, the authority must take such action as it considers necessary to deal with the situation. Definition as to whether there is deterioration in an authority’s financial position is set out in sub-section 28(4) of the Act.
- 5.3.3 The council’s Constitution, Article 7 Committees, Forums, Working Groups and Partnerships, sets out the functions of the Policy and Resources Committee:
- Strategic policy, finance and corporate risk management including recommending: Capital and Revenue Budget; Medium Term Financial Strategy; and Corporate Plan to Full Council, Finance, Procurement Forward Plan, Local Plans (except for matters reserved to Full Council), Information Technology, Strategic Partnerships, Customer Services and Resident Engagement, Emergency Planning, and To be responsible for those matters not specifically allocated to any other committee affecting the affairs of the Council.
- 5.3.4 The council’s Financial Regulations can be found at:
<http://barnet.moderngov.co.uk/documents/s46515/17FinancialRegulations.doc.pdf>
- 5.3.5 Section 2.4.3 states that amendments to the revenue budget can only be made with approval as per the scheme of virements table below:

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

5.4 Risk Management

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

5.5 Equalities and Diversity

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

This is also what we expect of our partners.

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

5.6 Consultation and Engagement

- 5.6.1 During the process of formulating budget and Corporate Plan proposals for 2015-2020 onwards, four phases of consultation took place:

Phase	Date	Summary
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Phase	Date	Summary
Phase 1: Setting out the challenge	Summer 2013	The council forecast that its budget would reduce by a further £72m between 2016/17 and 2019/20, setting the scene for the PSR consultation
Phase 2: PSR consultation to inform development of options	October 2013 - June 2014	Engagement through Citizen's Panel Workshops which focused on stakeholder priorities and how they would want the council to approach the Priorities and Spending Review An open 'Call for Evidence' asking residents to feedback ideas on the future of public services in Barnet.
Phase 3: Engagement through Committees	Summer 2014	Focus on developing commissioning priorities and MTFS proposals for each of the 6 committees Engagement through Committee meetings and working groups
Phase 4: Strategic Plan to 2020 Consultation	December 2014 – March 2015	A series of 6 workshops with a cross section of residents recruited from the Citizens Panel and Youth Board, plus two workshops with users ⁷¹ of council services. An online survey (17 December 2014 – 11 February 2015)

6 BACKGROUND PAPERS

- 6.1 Council, 3 March 2015 (Decision item 12) – approved Business Planning 2015/16 – 2019/20, including the Medium-Term Financial Strategy.
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=7865&Ver=4>
- 6.2 Council, 14 April 2015 (Decision item 13.3) – approved Corporate Plan 2015-2020.
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=7820&Ver=4>
- 6.3 Council, 4 April 2016 (Decision item 13.1) – approved 2016/17 addendum to Corporate Plan.
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=8344&Ver=4>
- 6.4 Council, 7 March 2017 – approved 2017/18 addendum to Corporate Plan.
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=8819&Ver=4>

⁷¹ One "service user" workshop was for a cross section of residents who are users of non-universal services from across the council. The second workshop was for adults with learning disabilities.

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Responses Options
						Impact	Likelihood	Risk Score	Impact	Likelihood	
Strategic Risks (22)											
STR020	Lack of fully functioning case management system	If the programme plan to complete the substantial remedial work required to the Mosaic case management system is not agreed and implemented in a timely manner, the lack of a fully functioning case management system will have an impact on key business processes which may become unable to function, and on data and information which may become incomplete or misunderstood. This may lead in turn to a risk of harm to individuals, lack of compliance with statutory duties, financial loss or penalties, legal challenge and reputational damage.	Assistant Director, Community and Well-being (Adults)	Statutory duty	<p>A programme board is in place to drive delivery of a fully functioning case management system (Mosaic), with escalation routes agreed into the Barnet Partnership senior structures.</p> <p>Timescales have been agreed for development of a confirmed programme plan covering the remedial work, and these are being closely monitored by Capita and LBB.</p> <p>Regular reports are being used to confirm that frontline social care business processes are running to expectations and that any issues are quickly identified.</p> <p>Mitigation measures are in place to manage specific risks such as provider failure or bad debt, arising from delays to key business processes such as paying invoices or issuing bills to clients.</p> <p>Assurances have been sought in relation to information governance controls within the programme.</p>	5	4	20	1	1	Treat
STR004	Future financial pressures and funding uncertainty	The uncertainty and therefore lack of clarity on impact of changes in the national and regional political landscape, legislative changes and local government funding changes (e.g. business rates localisation) that affect LBB services could lead to further reduction of the in-year budget resulting in non-achievement of MTFS target, reduction in service quality, resident dissatisfaction, deterioration of services, use of reserves and reputational damage. This could also have an impact on the existing overspend by increasing it.	Chief Executive	Finance	We have some contingency and reserves in place to mitigate the short term impact. We undertake forward planning, regularly updating our budget assumptions and monitoring the Government's fiscal announcements. However, we also maintain flexibility within existing plans to instigate recruitment freezes in non-front line services whilst long term plans are being put into place. We also maintain good contacts with central Government, to remain as informed as possible.	5	4	20	4	4	Treat
STR003	Delivery of transformation programmes	If there are challenges with resource recruitment, changes in market conditions, changes in political decisions, change resistance, poor project management, budgetary management and engagement (staff and residents), this could lead to failure to deliver major transformation programmes, specifically Brent Cross, Colindale office relocation, Libraries programme and Social Care Practice Improvement and failure to maintain a balanced budget over the MTFS period resulting in resident dissatisfaction, disruption to services, financial loss, and reputational damage.	Chief Executive	Finance	We have clear leadership in place through our Strategic Directors, and the decision-making process is well understood. Our governance structure is set up to support delivery, with member challenge through Performance and Contract Management Committee and theme committees. Our annual finance and business planning processes also support this.	5	3	15	5	2	Treat
STR007	Significant safeguarding incident	If council services and partners do not effectively manage their relevant safeguarding risks, this could lead to a safeguarding incident resulting in potential harm to individuals and/or families, potential legal challenge, resident dissatisfaction, public scrutiny.	Chief Executive	Statutory duty	<p>Children: elements of the Practice Improvement Plan have been implemented, including training. We also have a supervision policy and practice standards, and undertake quality assurance activity.</p> <p>We adhere to Pan London safeguarding procedures and processes, and ensure scrutiny and oversight of safeguarding via assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Children's Services Improvement Board.</p> <p>Adults: adherence to the London multi-agency safeguarding adults policy and procedures. We have a training programme and supervision policy and practice standards. Our quality assurance programme is in place including case audit, supervision audit, performance monitoring. We reports to SCB Assurance, Barnet Safeguarding Adults Board and PQA sub-group; also to Adults Committee and HWB annually.</p>	5	3	15	5	3	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Risk Score	Impact	Likelihood	
STR021	Delivery of Ofsted Improvement Action Plan	The Ofsted Improvement Plan is not delivered across the partnership quickly enough, which could lead to outcomes for children, young people and families not improving at the pace required; also this may result in negative monitoring reports and future inspection outcomes.	Strategic Director of Children and Young People	Statutory duty	<p>Delivery of robust action plan to take recommendations forward.</p> <p>Monitoring of impact of action plan on outputs and outcomes for children, young people and families, and taking action if outcomes don't improve as expected.</p> <p>Refresh of the Barnet Safeguarding Children's Board functions, membership and work programme.</p> <p>Leadership from the Chief Executive to drive forward action plan, and galvanise resources from across the council to support improvement (including support services).</p> <p>Strong communication/engagement plan at all levels of the partnership and organisation, to keep the focus, energy and momentum at all level (particularly when moving at pace).</p>	5	3	15	3	2	Treat
STR023	Commercial viability of strategic suppliers	If the commercial viability of a strategic supplier declines this could lead to operational failures resulting in service disruption/reduction; failure to discharge statutory duties; and financial costs	Deputy Chief Executive	Business continuity	<p>Contract management framework, with policy and procedures for commercial activity.</p> <p>Contract monitoring takes place monthly with quarterly reporting to Performance and Contract Management Committee</p> <p>Contract register kept under review with checks on financial status of strategic suppliers</p> <p>Contract management arrangements in place, including indicators to identify financial stress</p> <p>Business continuity plans in place</p>	5	3	15	4	3	Treat
STR024	Tri-borough reorganisation of the Met Police	Reorganisation of the Met Police into a tri-borough format may result in: a dip in performance while the changes take place, police resources previously available to Barnet being reallocated to Harrow and Brent, and an increase in police response times due to the service being delivered over a larger geographical area and the relocation of police hubs. These events may ultimately lead to a decrease in community safety, reputational damage and a reduction of public confidence in policing in Barnet.	Commissioning Director, Environment	Statutory duty (the Met Police are responsible for these duties)	<p>Support from the Safer Communities Partnership Board.</p> <p>Regular meetings with the Met Police borough commander.</p>	3	5	15	2	4	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Risk Score	Impact	Likelihood	
STR001	Ability to attract and retain scarce skills or those in high demand	If LBB is unable to attract and retain scarce skills or those in high demand within the labour market e.g. children's social workers there could be an impact on the ability to deliver outcomes for residents and statutory responsibilities resulting in financial pressure, reputational damage and poor customer satisfaction.	Assistant Chief Executive	Statutory duty	<p>Targeted interventions are underway to attract social workers in adult social care.</p> <p>Targeted interventions are underway to attract social workers in children's social care, and a further intervention is underway to convert agency social workers to permanent staff.</p> <p>A new recruitment system is being implemented to improve and streamline the recruitment process making it easier for both hiring managers and prospective candidates.</p> <p>The council is investing in new office accommodation in Colindale which will provide a new, modern working environment where staff can work in a more flexible, agile way.</p> <p>The council is investing in its training and development offer so that staff can continuously develop within their profession and the council can 'grow its own' in areas of skills shortages.</p> <p>An audit of the staff onboarding process is about to commence reviewing and seeking improvement to the processes for new starters.</p>	4	3	12	4	2	Treat
STR006	Complexity of partnership working in the borough	Differences of geographical footprint and governance structures of key strategic partners (e.g. NHS, NLWA) exacerbated by any changes in leadership may lead to conflicting priorities between partner agencies, including in the use of critical local infrastructure, resulting in non achievement of targets, increased risk of safeguarding incidents, resident dissatisfaction, ineffective allocation of resources and reputational damage.	Chief Executive	Statutory duty	We maintain good relationships with strategic partners, and have aligned our strategic plans where possible. We also hold regular update meetings with these partners, and members and senior officers are represented on key strategic boards.	4	3	12	4	2	Treat
STR011	Impact of change in policies across the council / for specific Committees	If there is a change in policies or in priorities across the council / for specific committees, this would result in increased workloads across the council associated with reworking of strategies, impacting on finances and ability to operate within budget.	Chief Executive	Business continuity	Decisions are made in accordance with legal advice, and the council undertakes forward planning at the corporate level. The risk to the budget is controlled by the MTFS and business planning process, and members are fully engaged. Budget for 2017/18 has been approved by Full Council on 30 January 2018.	4	3	12	4	3	Tolerate
STR012	Potential health and safety incident or negative impact on wellbeing of Barnet employees, Members and members of the public	If health and safety / compliance policies and procedures are not sufficiently developed, tested or adhered to by officers, members or the council's contractors, this could lead to an incident resulting in harm to Barnet employees/council members/members of the public, legal challenge and reputational damage.	Chief Executive	Health and safety	<p>Health and safety policies and processes around managing compliance are in place (available on the intranet), and the five civic buildings are being managed effectively. There are plans to identify gaps for other council stock (though these are not yet implemented).</p> <p>Training is undertaken so staff can find the right information, with some advertising on the intranet, and first team messaging to staff. Leaflets are distributed among the workforce. We have a web-based portal for referrals, with HR leading on some of these.</p> <p>There is a "split" service, allowing access to additional health and safety advice available as required, but alongside Barnet-based staff with health and safety knowledge of local issues carrying out monitoring activities (including health and safety audits and inspections) as well as a statutory officer in place.</p> <p>We have systems to collect information on incidents, and undertake regular health and safety audits and reports to senior officers and committees.</p>	4	3	12	4	2	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Risk Score	Impact	Likelihood	
STR025	Contractual disputes due to underperforming commissioned services	The potential for contract underperformance or non-delivery of commissioned services could result in disputes between Barnet and its delivery partners which, if unresolved, could lead to ongoing service delivery underperformance, failure to discharge statutory duties, legal/contractual costs, reputational damage and ultimately commissioned services being brought back in-house with the loss of planned savings and guaranteed income.	Commissioning Director	Finance	<p>Contract performance is measured by:</p> <ul style="list-style-type: none"> -monthly/quarterly/annual measures and indicators -the output specification <p>Contract performance is monitored via:</p> <ul style="list-style-type: none"> -monthly/quarterly performance reports -monthly contract management meetings <p>Dispute resolution is supported by:</p> <ul style="list-style-type: none"> -a jointly managed issues log -the contract dispute resolution processes including escalation to exceptional meetings -legal support from HB Public Law <p>Service continuity is ensured by:</p> <ul style="list-style-type: none"> -provisional service continuity plans 	4	3	12	3	2	Treat
STR008	Successful challenge to the decision-making process	If statutory obligations to consult as are not considered as part of the decision making process by any part of the organisation (retained or commissioned) when they are required to be, this may lead to successful legal challenges to the decision-making process resulting in judicial review of process, which has implications for officers and members, and could lead to reputational damage.	Chief Executive	Statutory duty	Corporate advice and guidance on decision-making are in place, with a clearance process. Senior officers and members have oversight of decisions.	5	2	10	5	2	Tolerate
STR013	Effective response to internal and external changes (political and economic)	Due to the complex nature of services provided, demographic changes and macroeconomic changes, the council may be unable to effectively respond in an agile way to internal and external changes (political and economic) resulting in not being able to deliver organisational objectives, financial impact and reputational damage.	Chief Executive	Business continuity	The council undertakes forward planning at the corporate level, as well as business planning. The corporate risk management framework and audit process also control this risk.	5	2	10	5	1	Treat
STR019	Fire health and safety	Failure to sufficiently manage policies and procedures around Health and Safety (including fire) could lead to an incident that results in structural damage to property, litigation/compliance breach; financial loss, personal injury or death.	Director of Finance	Health and safety	Health and safety policies and processes for managing compliance in respect of the council's estate and homes are in place; health and safety audits and inspections are carried out in accordance with policy; and fire risk assessment (FRAs) are undertaken and reported and actioned for all residential housing managed by Barnet Homes and main housing association partners.	5	2	10	5	1	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Risk Score	Impact	Likelihood	
STR010	Potential fraud, bribery or corruption incident	If there are ineffective internal controls, governance arrangements, and neither fit for purpose nor adhered to policies and procedures, this could lead to the council being unable to prevent an incident of organised or high value fraud, bribery or corruption resulting in loss of revenue, cost to the business (disposal and prosecution), staffing issues and reputational damage.	Section 151 Officer	Finance	<p>The council observes financial regulations, internal controls and standing orders, and contract procedure rules. Responsibilities relating to fraud prevention, detections and investigation are set out in the council's constitution.</p> <p>There is a policy framework in place called the counter-fraud framework which contains counter-fraud, bribery and corruption policy and a whistleblowing policy.</p> <p>The council also has an employee code of conduct which includes a gifts and hospitality policy, also other HR policies are in place. There is oversight by the Audit Committee.</p> <p>The council has a dedicated fully qualified independent fraud team (CAFT), and an internal audit team who work closely together and have a risk based joint work plan which included a communication/publicity strategy to ensure fraud risks/issue are identified and the control environment is reviewed as well as consideration and continued planning in relation to new risks and outcomes from internal audits/fraud investigations.</p> <p>The CAFT also conduct proactive fraud drives and also provide Fraud Awareness programmes and advice. CAFT take part national data matching initiatives (such as the National Fraud Initiative) in high fraud risk areas. They are able to respond to referrals of fraud and investigate them through to the appropriate outcome. They work closely with HR where internal fraud also raises disciplinary issues and also are the only authorised team to conduct financial investigations on behalf of the council under Proceeds of Crime Act.</p>	3	3	9	3	2	Treat
STR016	Neglecting corporate parenting duty	The council and its partners neglecting to fulfil their duty as Corporate Parents could lead to poorer outcomes for children in care and care leavers across key areas including education, health and placements, resulting in an increased gap between children in care/care leavers' and their peers in the shorter term and poorer outcomes in the longer term.	Strategic Director of Children and Young People	Statutory duty	<p>A joint motion by Councillors to the full council in November 2015 resulted in the Barnet's Pledge for Children in Care and Care Leavers. The Children in Care council has been refreshed and the advocacy service is active across Family Services. A Children's Services improvement plan is being implemented. The Virtual School has invested in a strong structure and resources are targeted to improve outcomes, through the PEP process.</p> <p>The 'Onwards and Upwards' care-leaving service is located in a town centre, where care leavers can access support and a broad range of multi-agency services. Strategic links have been developed with key partners.</p> <p>A multi-agency forum, Corporate Parenting Officers Group, has been established to track and monitor planning for children in care and care leavers.</p>	3	3	9	3	2	Treat
STR022	Development of Barnet House	Colindale FBC has a challenge to remove the liabilities around Barnet House. Failure to buy Freehold and opportunity to negotiate the purchase/early termination of long lease agreement could result in increased costs, reduced margins, reduced stakeholder confidence, reputational damage and reduced revenues.	Director of Resources	Finance	<p>An investment report has been commissioned and circulated detailing the current and potential liabilities.</p> <p>A BH development options report has been commissioned - March 16.</p> <p>Reviewing option agreement to buy Freehold and opportunity to negotiate the purchase/early termination of long lease agreement.</p> <p>Option on Freehold ceases in October 16.</p> <p>A draft of the Investment Case has been presented to the council for comment with an FBC model.</p> <p>Negotiations with the new freeholder are planned to facilitate and early lease termination.</p>	3	3	9	2	3	Tolerate

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Risk Score	Impact	Likelihood	
STR002	Capacity for business continuity responsiveness	If there is insufficient resource or capability to deal with crisis, such as those involving critical local infrastructure, and insufficient testing of Business Continuity Plans / incident response plans, the council may be unable to respond effectively in the event of a crisis resulting in financial loss, disruption to services, resident dissatisfaction and reputational damage.	Deputy Chief Executive	Business continuity	The council has a corporate Business Continuity Strategy and Plan, and we maintain a network of business continuity leads, with quarterly meetings on this subject. We carry out bi-annual desktop tests, including live reporting. Plans are in development to test our arrangements through live scenarios.	4	2	8	4	2	Treat
STR017	Exposure to cyber-security attack	Connecting to untrusted networks (such as the Internet) exposes IT networks to attacks that seek to compromise the confidentiality, integrity and availability of ICT and the information they store and process.	Director of Resources	Business continuity	Policies and risk management approaches to protect IT networks developed and implemented; and security controls applied, including patch upgrades.	4	2	8	4	1	Treat
STR018	Incident management	Failure to respond effectively to an information security incident (e.g. a cyber-security attack) that disrupts IT networks leading to a loss of access to information assets and disruption to council services.	Director of Resources	Business continuity	Incident management policies in place to improve resilience, and support business continuity, including regular assessment of information assets.	4	2	8	4	1	Treat
STR026	Full and compliant delivery of the election	There is a risk that some element within the delivery of the Local Government Elections (3 May 2018) is not duly completed and fully compliant with electoral legislation, Electoral Commission guidance or is otherwise non-transparent and poorly completed - that there is high-profile dissatisfaction with the declared results or that one or more of the results is challenged by an election petition following declarations.	Chief Executive as the Returning Officer	Statutory duty	The May 18 Local Elections (M18LE) project has developed a full risk register that is managed by the Elections Project Manager and signed off by the Chief Executive/Returning Officer at the regular and frequent Elections Board meetings. The risk register contains all (currently 17) identified and mitigated risks controlled within five categories: Manpower, Methods, Machines, Money and Management.	4	2	8	4	1	Treat
High Level Service Risks (10)											
Adults and Communities											
AC001	Increased overspend in 2017/18 to meet statutory duties	The Adults and Communities Delivery Unit could have insufficient resources to meet its statutory duties due to operating in an environment in which there is inherent uncertainty in future demand for services, exacerbated by a potential inability to deliver savings, reduced ability to raise income from clients, the rising cost of care, other in year financial pressures due to unexpected demand, the increasing complexity and cost of care packages, and legislative changes. This could result in harm to individuals, legal challenge, worsening budget overspend, and reputational damage.	Adults and Communities Director	Compliance	The council's budget management process (MTFS) forecasts demographic growth and pressures over a 3 year period. Budget and performance monitoring and management controls are used throughout the year. Work to reduce addressable spend (such as expenditure on agency staff) is being carried out in year. The Priorities and Spending Review will identify future demand pressures, and the council will undertake initiatives focused on reducing and managing future demand in response, including the Adults' New Operating Model which focus on reducing demand for services and finding more creative ways to manage complex need.	5	4	20	3	3	Treat

Appendix A: Corporate risk register Q4 2017/18

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Risk Score	Impact	Likelihood	
AC028	Lack of fully functioning case management system	If the programme plan to complete the substantial remedial work required to the Mosaic case management system is not agreed and implemented in a timely manner, the lack of a fully functioning case management system will have an impact on key business processes which may become unable to function, and on data and information which may become incomplete or misunderstood. This may lead in turn to a risk of harm to individuals, lack of compliance with statutory duties, financial loss or penalties, legal challenge, and reputational damage.	Assistant Director Community And Wellbeing	Compliance	<p>A joint programme board is in place to drive delivery with escalation routes agreed into the Barnet Partnership senior structures.</p> <p>Timescales have been agreed for development of a confirmed programme plan covering the remedial work, and these are being closely monitored by Capita and LBB.</p> <p>Regular reports are being used to confirm that frontline social care business processes are running to expectations and that any issues are quickly identified.</p> <p>Mitigation measures are in place to manage specific risks such as provider failure or bad debt, arising from delays to key business processes such as paying invoices or issuing bills to clients.</p> <p>Assurances have been sought in relation to information governance controls within the programme.</p>	5	4	20	1	1	Treat
AC027	Implementation of new IT systems	Implementation of a number of new IT systems within Adults and Communities could lead to the risk that systems are not completely understood, remedial work is required to develop complete and accurate configuration, further training is required and processes are delayed or slowed, leading to risk of harm to individuals, lack of compliance with statutory duties, reduced financial control.	Assistant Director Community And Wellbeing	Business continuity	The council works closely with delivery partners including Capita and with the corporate IS function to ensure systems are implemented effectively and meet business needs. The Delivery Unit works closely with programme teams to ensure the scope of work is clear and the highest priority items are identified and completed as quickly as possible. Joint programme boards ensure risks and issues are highlighted and escalated to the senior management structures of both organisations. Use is made of assurance mechanisms including internal and external audit and specialist technical assurance commissioned as and when needed. For Barnet/Capita projects, there is a clear escalation line into the Barnet/Capita Partnership, which is tasked with ensuring issues are resolved rapidly and to the long term benefit of the Partnership.	4	4	16	1	1	Treat
AC031	Lack of financial control	Delays in resolving issues following the move to the new case management system have limited the ability for the Council to produce routine budget reports. There is a risk that with limited financial reporting, reliant on work arounds, that budget issues are not identified and addressed in a timely fashion.	Assistant Director Community And Wellbeing	Finance	Investing in IT programme team to expedite development of required functionality. Alternative methods for financial reporting to be utilised.	4	4	16	1	1	Treat
AC002	Failure of care provider	<p>A care provider could suddenly be unable to deliver services, due to:</p> <ul style="list-style-type: none"> - provider going into administration - failure of regulatory inspection relating to quality of service - care provider chooses not to deliver services - Health and Safety breach <p>leading to operational disruption to manage the situation, harm to individuals by not having their care and support needs met, unexpected financial consequences, breach of statutory duty.</p>	Head of Integrated Care Quality	Business continuity	<p>For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers. The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p> <p>A regular report setting out provider risks and concerns is circulated to the DASS and to the delivery unit's Leadership team on a monthly basis and discussed through the regular DASS assurance meeting.</p>	4	4	16	4	3	Treat
AC003	Unacceptable level of quality services provided by care providers	<p>Unacceptable levels of quality of services provided by care provider could lead to additional dedicated Barnet resource needing to be put in place to address the situation, resulting in reduced ability to manage business as usual, financial consequences.</p> <p>If the additional resource is not able to address the underperformance of the care provider, this could also lead to harm to individuals, reputational consequences.</p>	Head of Integrated Care Quality	Compliance	<p>For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers. The council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector. A regular report setting out provider risks and concerns is circulated to the DASS and to the delivery unit's Leadership team on a monthly basis and discussed through the regular DASS assurance meeting.</p>	4	4	16	3	3	Treat
Public Health											

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Risk Score	Impact	Likelihood	
PH06	Pandemic Influenza type disease outbreak LA business continuity risk	A Declaration of Pandemic Influenza by the World Health Organisation (WHO) could lead to severe resource and capacity issues for the council and partner agencies impacting on the delivery of services and the health protection of the boroughs residents. [Pandemic Influenza is a national risk and is recorded on the Borough Resilience Forum Risk Registers for both Barnet and Harrow. Local Authority management of a Pandemic Influenza outbreak is in accordance with the council's category 1 statutory responsibilities and obligations, in line with the Civil Contingencies Act (2004)].	Director of Public Health	Statutory duty	London Boroughs of Barnet and Harrow Multi-Agency Pandemic Influenza Plans (2017). LB Barnet Pandemic Influenza Action Plan and Risk Matrix (2017). Delivery Unit Business Continuity Plan (including Long-Term Loss of Staff considerations). National and Regional Plans and Guidance including: The UK Influenza Pandemic Preparedness Strategy (2011), The London Resilience Partnership Pandemic Influenza Framework (v.6 2014), Health and Social Care Influenza Pandemic Preparedness and Response Guidance (2012), Local Authority threat specific plans, Business Continuity Plans and multi agency partner Pandemic Influenza and Business Continuity Plans. Borough Resilience For Pandemic Influenza annual reviews and thorough training and exercising programmes in line with best practice. Exercise Corvus (Public Health England led off the shelf Pandemic Influenza exercise) has been delivered in both boroughs prior to Exercise Cygnus (National Pan 'Flu exercise). Continued cyclical planning, development, training/exercising, risk analysis and review by the BRFs in line with current and emerging local, regional and national guidance.	5	4	20	4	4	Treat
Children and Young People											
FS001	Significant child safeguarding incident	Inappropriate response or poor decision-making around a case leads to a significant children's safeguarding incident, resulting in increased risk of significant harm or death of a child, and reputational damage.	Operational Director, Early Help, Children in Need and Child Protection	Statutory duty	The Ofsted Action Plan has been developed - building on previous work to strengthen the service. Delivery of the plan is monitored regularly and overseen by a Board chaired by the Chief Executive. Signs of Safety training is being rolled out as part of the toolkit to implement resilience-based practice across the service and partnership, which supports purposeful practice Supervision and practice standards help to control this risk, as well as quality assurance activity. We provide assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Social Work Improvement Board, to ensure scrutiny and oversight. The lead member meets monthly with service leads to provide oversight.	4	4	16	4	3	Treat
FS023	Delivery of Ofsted Improvement Action Plan	The Ofsted Improvement Action Plan is not delivered across the partnership quickly enough, which could lead to outcomes for children, young people and families not improving at the pace required, resulting in negative monitoring reports and future inspection outcomes.	Director of Children's Services	Statutory duty	- Development of robust action plan to take recommendations forward - Monitoring of impact of action plan on outputs and outcomes for children, young people and families, and taking action if outcomes don't improve as expected - Refresh of the Barnet Safeguarding Children's Board functions, membership and work programme - Leadership from the Chief Executive to drive forward action plan, and galvanise resources from across Council to support improvement (including support services) - Strong communication/engagement plan at all levels of the partnership and organisation, to keep the focus, energy and momentum at all level (particularly when moving at pace)	5	3	15	3	2	Treat
Environment											
PI014	Winter Service	Unable to serve three eastern routes due to relocation to Harrow which has increased travelling times.	Commissioning Director and Strategic Lead Effective Borough Travel	Business continuity	Investigating all options for satellite sites which are closer to the three eastern routes.	5	3	15	5	2	Tolerate

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/Mitigations in Place	Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Risk Score	Impact	Likelihood	
High Level Joint Risks (3)											
Customer Support Group											
CSG56	Pension scheme member data inaccurate	The pension service is responsible for effective administration of the Barnet Pension Scheme. Incomplete and / or inaccurate data could lead to incorrect benefits and calculation results. The pension regulations require all pension schemes to maintain accurate data.	Strategic HR lead	Information governance	Service Improvement Plan is in place with the following specific actions relating to data quality: Contractual remedy where appropriate Common data cleanse for current and legacy member data Conditional data analysis and data cleanse of current and legacy data Implementation of an ongoing record keeping plan Monitor pension service improvement plans on a monthly basis and scrutiny by the Pension Board on a quarterly basis.	4	4	16	2	2	Treat
CSG57	Pension administration getting accurate data	If employers and admitted bodies fail to notify the pension scheme of changes in their workforce in a timely way member data could be inaccurate ultimately resulting in a breach of law.	Strategic HR lead	Information governance	A service improvement plan is in place with the following specific action: communication strategy to ensure employers and admitted bodies are fully aware of their responsibilities for informing the scheme of workforce changes, the timescales for notification and the penalties that can be applied by the scheme for failure to comply.	4	4	16	2	2	Treat
CSG55	Pension service	As a result of poor delivery of administration of pension service, scheme members are given incorrect advice, experience delay in receiving benefits and have a poor quality customer experience resulting in reputational damage to the council and potential enforcement actions by the regulator which could lead to financial loss to the council.	Strategic HR lead	Finance	Review and monitor the pension service improvement plans on a monthly basis and scrutiny by the Pension Board on a quarterly basis. Contractual remedy where appropriate.	3	5	15	1	2	Treat

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**London Borough of Barnet
Policy and Resources
Committee Work Programme
2018-19
June 2018 - May 2019**

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Title of Report	Overview of decision	Report Of (<i>officer</i>)	Issue Type (Non key/Key/Urgent)
11 June 2018			
Loan to Saracens	The report seeks agreement in principle to make a loan to Saracens at a commercial rate for a period of 30 years to enable the construction of a new West Stand as part of their Allianz Park stadium at Copthall.	Deputy Chief Executive	Key
Local Development Scheme	To approve the three year project plan, the Local Development Scheme (LDS), setting out the programme for preparing the Local Plan.	Deputy Chief Executive	Key
Statement of Community Involvement			Key
Business Planning	To receive a report on Business Planning to 2025. To agree changes to the Capital Programme. To agree budget transfers from contingency	Head of Finance	Key

Title of Report	Overview of decision	Report Of (<i>officer</i>)	Issue Type (Non key/Key/Urgent)
CBAT Licensing to external parties	This report seeks authorisation to delegate authority to the Deputy Chief Executive to enter into a joint venture for the further development of the Community Benefit Assessment Tool (CBAT) and to agree subsequent licensing of the CBAT to private fee paying external organisations.	Head of Estates	Non-key
Implementation of IT Strategy: Full business case for next phase of implementation of Microsoft SharePoint Online for document management	To approve the phase one implementation of Microsoft SharePoint Online technology.	Head of Information Management	Non-key
Authorisation to participate in the Mayor of London's REFIT programme to retrofit energy saving measures to Council assets	The report seeks approval for Barnet Council to participate in the GLA's REFIT programme to retrofit energy saving measures to Council assets to save energy and running costs.	Deputy Chief Executive	Non-key
Contract extensions and variations	To vary and extend contracts for financial review work.	Assistant Chief Executive	Non-key

Title of Report	Overview of decision	Report Of (<i>officer</i>)	Issue Type (Non key/Key/Urgent)
Emergency Planning	To provide an update on Emergency Planning, for noting.	Head of Information Management	Non-key
End of Year 2017/18 Performance Monitoring Report	The Committee is asked to scrutinise the overall annual performance of the council, in relation to the Corporate Plan; Theme Committee Commissioning Plans and Strategic Contracts.	Assistant Chief Executive	Non-key
3 October 2018			
Annual Equalities Report	To present the annual equalities report for approval	Assistant Chief Executive	Non-key
Monitoring the impact of Brexit on Barnet	To present an annual update	Assistant Chief Executive	Non-key
Update on Extra care procurement	To update the committee on the progress of the procurement following the report to the committee on 13 February 2018.		Non-key
26 November 2018			
Business Planning		Director of Resources (Section 151 Officer and Chief Finance Officer)	Non-key

Title of Report	Overview of decision	Report Of (<i>officer</i>)	Issue Type (Non key/Key/Urgent)
Procurement Forward Plan 2019-20	To approve the forward plan		Key

Title of Report	Overview of decision	Report Of (<i>officer</i>)	Issue Type (Non key/Key/Urgent)
Brownfield Land Register - Updates	<p>LPAs were required under the Town & Country Planning (Brownfield Land Register) Regulations 2017 to publish initial registers by 31st December 2017 and thereafter update them at least once a year.</p> <p>Registers are to provide up to date publicly available information on brownfield land considered suitable for housing.</p> <p>Registers are to provide up to date publicly available information on brownfield land considered suitable for housing.</p>		Key

Title of Report	Overview of decision	Report Of (<i>officer</i>)	Issue Type (Non key/Key/Urgent)
12 March 2018			
items to be allocated			
Draft Affordable Housing Supplementary Planning Document	To approve the draft Supplementary Planning Document for Affordable Housing for consultation.	Deputy Chief Executive	Non-key
North London Waste Plan (Reg 19 stage)	To approve the North London Waste Plan (NLWP) for public consultation.		Non-key
Affordable Housing Supplementary Planning Document - Adoption	To adopt the Supplementary Planning Document for Affordable Housing.	Deputy Chief Executive	Key

