

**MEETING**

**POLICY AND RESOURCES COMMITTEE**

**DATE AND TIME**

**THURSDAY 3RD OCTOBER, 2019**

**AT 7.00 PM**

**VENUE**

**HENDON TOWN HALL, THE BURROUGHS, LONDON NW4 4BQ**

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

Chairman: Councillor Daniel Thomas  
Vice Chairman: Councillor David Longstaff

Councillor Dean Cohen	Councillor Anthony Finn	Councillor Ross Houston
Councillor Kath McGuirk	Councillor Arjun Mittra	Councillor Alison Moore
Councillor Sachin Rajput	Councillor Barry Rawlings	Councillor Gabriel Rozenberg
Councillor Peter Zinkin		

**Substitute Members**

Councillor Melvin Cohen	Councillor Val Duschinsky	Councillor Geof Cooke
Councillor Reema Patel	Councillor Alan Schneiderman	Councillor Mark Shooter

In line with the Constitution's Public Participation and Engagement Rules, requests to submit public questions must be submitted by 10AM on the third working day before the date of the committee meeting. Therefore, the deadline for this meeting is Monday 30 September at 10AM. Requests must be submitted to Maria Lugangira at [maria.lugangira@barnet.gov.uk](mailto:maria.lugangira@barnet.gov.uk)

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

**Andrew Charlwood – Head of Governance**

Governance Service contact: Maria Lugangira 020 8359 2761

Media Relations Contact: Gareth Greene 020 8359 7039

**ASSURANCE GROUP**

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## ORDER OF BUSINESS

Item No	Title of Report	Pages
1.	Minutes of last meeting	5 - 12
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)	
7.	Brexit Preparedness	13 - 32
8.	Business Planning 2020-25 and Budget Management 2019/20	33 - 76
9.	Quarter 1 (Q1) 2019/20 Strategic Performance Report	77 - 186
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11.	Brent Cross Cricklewood Report	215 - 408
12.	Street Naming and Numbering Policy	409 - 466
13.	Increasing Room Hire Charges for Hendon Town Hall and North London Business Park	467 - 476
14.	Referral from the Environment Committee: Reduction and Recycling Plan (RRP) - Single use Plastic	477 - 480
15.	Oakleigh Depot Remedial Works	To Follow
16.	Committee Forward Work Programme	481 - 484
17.	Any other item(s) the Chairman decides are urgent	
18.	Motion to Exclude the Press and Public	
19.	Oakleigh Depot Remedial Works [EXEMPT]	To Follow
20.	Any other exempt item(s) the Chairman decides are urgent	

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## Decisions of the Policy and Resources Committee

17 June 2019

Members Present:-

AGENDA ITEM 1

Councillor Daniel Thomas (Chairman)  
Councillor David Longstaff (Vice-Chairman)

Councillor Dean Cohen  
Councillor Anthony Finn  
Councillor Ross Houston  
Councillor Kath McGuirk  
Councillor Arjun Mittra

Councillor Alison Moore  
Councillor Sachin Rajput  
Councillor Barry Rawlings  
Councillor Gabriel Rozenberg  
Councillor Peter Zinkin

### 1. MINUTES OF LAST MEETING

RESOLVED that the minutes of the meeting dated 20 February 2019 be agreed as a correct record.

### 2. ABSENCE OF MEMBERS

None.

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

Councillor Arjun Mittra declared a non-pecuniary interest in Agenda Item 8 – Business Planning 2020-24 and Budget Management 2019/20, as he is an employee of the GLA.

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

None.

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

Details of the questions asked and the answers provided were published and circulated at the meeting. Verbal responses were given to supplementary questions at the meeting.

Public comments were made by the following:

- Holly Kal-Weiss – Item 7, Review of Capita Contracts
- Tirza Waisel – Item 7, Review of Capita Contracts

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

None.

## 7. REVIEW OF CAPITA CONTRACTS

The Chairman introduced the report which provided the Committee with further updated on the review of council's contract with Capita. It further set out the outcome of the public and best value consultation exercise undertaken between 19th December and 15th February 2019. Following consideration of the consultation outcomes the Finance and Strategic HR Services were successfully transferred back to the Council on 1st April 2019.

The report set out the proposal and business case for the following to be returned to the council subject to completion of the necessary financial due diligence;

- Director of Place
- Skill, Employment and Economic Development (SEED) team – within Regeneration Service
- Safety, health and Wellbeing (SHaW) Service

Included was a further business case for strengthening the management arrangement for the Highways service.

With regards to issues relating to the Pensions Administration Service the Committee noted the proposed approach set out in the report. The aim, to ensure that in future the service is delivered to the required standard.

With regards to the review of the remaining services the proposals set out that this takes place along the year 6 (CSG) and year 7 (RE) contract reviews.

Councillor Barry Rawlings, duly seconded by Councillor Alison Moore moved the following amendment;

*'The Policy and Resources Committees deletes recommendations 3 – 11 and replaces them with;*

3. *Agrees to terminate both contracts with Capita.*
4. *Authorises the Chief Executive, after consultation with the Leader of the Council, to make the necessary arrangements for service of the termination notice on both Capita contracts;*
5. *Agrees all services covered by both Capita contracts are brought back in-house by the end of the notice period so that they are then fully subject to Barnet Council Committee decision-making and under direct management control of senior council officers;*
6. *Authorises the Chief Executive, after consultation with the Leader of the Council, to undertake and conclude all negotiations with Capita that are necessary to give effect to the decision to terminate the contracts.*
7. *Instructs the HR Director to establish consultative arrangements including with staff and trade unions to support the successful implementation and transfer of services back to the council;*

Upon being put to the vote the amended recommendations proposed by Councillor Barry Rawlings were declared lost. The vote was recorded as follows;

For	5
Against	7
Abstain	0

With regards to recommendation 11, the Committee agreed to the remove the reference to *Year 6* and *Year 7*

Councillor Rawlings requested that a separate vote is taken on recommendations 6 and 7. The vote was recorded as follows:

For	7
Against	5
Abstain	0

Upon being put the vote the remaining recommendations as set out in the report were agreed.

**RESOLVED – That the Committee;**

1. **Notes the outcome of public and best value consultation and updated Equality Impact Assessments.**
2. **Notes the successful return of Finance and Strategic HR services to the council.**
3. **Agrees that the Director of Place role and the Skills, Employment and Economic Development team from within the Regeneration service should be returned to the council, subject to the outcome of the necessary financial due diligence.**
4. **Agrees that the Safety, Health and Wellbeing service should be returned to the council, subject to the outcome of the necessary financial due diligence.**
5. **Authorises the Chief Executive to take the necessary action to conclude negotiations and effect the transfer of these two services.**
6. **Notes the proposed arrangements to strengthen the management of the Highways service.**
7. **Agrees that the Director of Finance should continue to work with Capita to achieve the necessary improvements to the Pensions Administration service.**
8. **Instructs the Director of Finance to put appropriate measures in place to enable alternative service provision arrangements to be made for Pensions Administration, should the need arise, with a view to bringing a further report to Policy and Resources Committee in due course.**
9. **Authorises the Deputy Chief Executive to review the future contractual arrangements with Capita for those staff involved in the management and governance of the Brent Cross Cricklewood (Brent Cross) development scheme.**
10. **Further authorises the Deputy Chief Executive to commence staff consultation on any proposed changes arising out of that review and to**

report the outcome of the review and consultation to the Assets, Regeneration and Growth Committee, for noting, in due course, with any decisions to be referred to Policy and Resources.

11. Agrees that the review of remaining services be carried out through the (CSG) and (RE) contract reviews commencing in the autumn of 2019, with terms of reference and progress being reported to the Financial Performance and Contracts Committee. Any resulting recommendations would be made in a further report to the Policy and Resources Committee.

## **8. BUSINESS PLANNING 2020-24 AND BUDGET MANAGEMENT 2019/20**

The Committee considered the report which provided an overview of the council's outturn for the 2018/19 financial year including the impact on reserves and balances.

Further set out in the report was the context for the Business Planning process for the years 2020-24 and operational decisions required in line with the financial management of the council's budgets.

Upon being put to the vote the recommendations as set out in the report were agreed.

### **RESOLVED – That the Committee**

- 1. Notes the overview of the council's 2018/19 revenue outturn, as detailed in Section 1;**
- 2. Notes the impact of outturn on the council's reserves, as detailed in section 2;**
- 3. Notes the 2019/20 – 2023/24 savings position, as detailed in Section 3.1**

## **9. CROSS COUNCIL ASSURANCE SERVICE (CCAS) PROCUREMENT**

The Committee considered the report with sought authorisation to commence a procurement activity, led by Barnet to secure a provider or providers to continue the Cross-Council Assurance Service for the provision of audit, assurance, and advisory services from April 2020, after the end of the current contract.

Upon being put to the vote the recommendations as set out in the report were agreed.

**RESOLVED – That the Committee authorises officers to commence and lead on collaborative procurement activity with identified contracting authorities to establish a framework agreement for a provider of audit, assurance, and advisory services from April 2020, for four (4) years until March 2024, accessible by London councils and other public sector bodies, with the option to extend this term to be explored.**

## **10. ANNUAL EQUALITIES REPORT 2018/19**

The Committee considered the report which sought approval of the council's Annual Equalities Report for the financial year 2018-19. The report demonstrates how the council complies with the Public Sector Equality Duty in the Equality Act 2010 and publication of the Annual Equalities Report (AER) forms part of that process.

Upon being put to the vote the recommendations as set out in the report were agreed.

**RESOLVED – That the Committee**

- 1. That the Committee approve the Annual Equalities Report 2018/19 for publication on the council website.**
- 2. That the Committee approve Equalities, Diversity and Inclusion Action Plan implementation for 2019/20.**

**11. END OF YEAR (EOY) 2018/19 STRATEGIC PERFORMANCE REPORT**

The Committee considered the report which provided an annual strategic overview of performance for 2018/19 focusing on budget outturns (revenue and capital) and performance on activities and key indicators, as well as risk information related to the corporate priorities in the Corporate Plan 2018/19 Addendum.

With regards to sanction detection rates of Domestic Abuse set out on page 246 of the report, Item 11, Councillor Barry Rawlings requested if he could be sent a report detailing the sanction Figures **[ACTION Community Safety Manager]**

Upon being put to the vote the recommendations as set out in the report were agreed.

**RESOLVED – That the Committee;**

- 1. Notes the revenue and capital outturn for 2018/19.**
- 2. Notes the savings delivered in 2018/19.**
- 3. Scrutinise the performance and risk information related to the corporate priorities in the Corporate Plan 2018/19 Addendum, including the strategic and high level (scoring 15+) service/joint risks that form the corporate risk register at Appendix A.**

**12. LONDON COUNTER FRAUD HUB (LCFH)**

The Committee considered report which provided summary of the London Counter Fraud Hub's proposed operations and purpose. The hub is supplied by CIPFA, in partnership with BAE Systems. The original contract was based on payment by results but has now evolved into a subscription-based model. Testing was carried out by 4 pilot authorities, Camden, Ealing, Islington, and Croydon. The results suggest that if all 33 boroughs were to sign up, in the first year of operation London would save a net £15m (worst case) to £30m (best case) and recover circa. 1,500 council homes that are currently illegally sub-let.

The Committee further noted the additional information set out in the exempt report.

Subject to further legal advice, upon to being put to the vote the recommendations as set out in the report were agreed.

**RESOLVED – That the Committee**

- 1. Note the content of the report;**
- 2. Approves, in principle, decision to join London Counter Fraud Hub;**

3. **Delegates authority to the Director of Finance, in consultation with the Chairman of P&R, to enter into the contract.**

**13. ENERGY CONTRACT REVIEW AND AUTHORISATION FOR THE PROCUREMENT OF ENERGY SUPPLIES & ANCILLARY SERVICES**

The Committee considered the report which provided a summary of the Energy Contract Review (Appendix 1) undertaken. The purpose of the review, to inform options for future procurement of energy (gas/electricity) for the Council's civic estate and schools who opt to be part of the corporate energy contract arrangement.

Upon being put to the vote the recommendation as set in the report were agreed.

**RESOLVED – That the Committee**

1. **Approves as part of the Councils participation in the Pan-LEP Procurement & Category Management Programme the use of the Pan-LEP Frameworks for the flexible procurement of electricity and natural gas and the award of call off contracts for supply under it; and endorse that LEP should manage supplier performance & service development to deliver service in line with LEP authorities' collective business requirements post award to maximise benefit.**
2. **Approves the LASER Pan-LEP Energy Framework for the flexible procurement of natural gas and electricity for the supply period 1<sup>st</sup> October 2020 to 31<sup>st</sup> March 2023 (30-months) and for a further two years under a rolling forward buying commitment arrangement until 31<sup>st</sup> March 2025 unless terminated by the Council. The estimated total expenditure of the supply to be called off under the framework as noted in section 5.2.3 is £25M**
3. **Re-affirms use of LASER's Fully Managed Service under this rolling arrangement for the same period(s), unless terminated by the Council; and to review procurement approaches and the Fully Managed Service during this period.**

**14. COMMITTEE FORWARD WORK PROGRAMME**

The Committee noted the Forward Work Programme.

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

None.

**16. MOTION TO EXCLUDE THE PRESS AND PUBLIC**  
**17. LONDON COUNTER FRAUD HUB (LCFH) [EXEMPT]**

**RESOLVED that the Committee note the information set out in the exempt report.**

**18. ENERGY CONTRACT REVIEW AND AUTHORISATION FOR THE PROCUREMENT OF ENERGY SUPPLIES & ANCILLARY SERVICES**

**RESOLVED that the Committee note the information set out in the exempt report.**

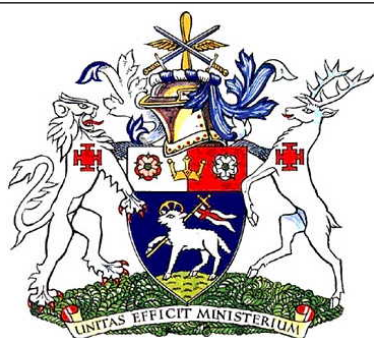
**19. ANY OTHER EXEMPT ITEM(S) THE CHAIRMAN DECIDES ARE URGENT**

None.

The meeting finished at 9.30 pm

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## Policy and Resources Committee

3 October 2019

<b>Title</b>	<b>Brexit Preparedness</b>
<b>Report of</b>	Chairman of the Policy and Resources Committee
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	Appendix A – Brexit Impact Log
<b>Officer Contact Details</b>	Cath Shaw, Deputy Chief Executive <a href="mailto:cath.shaw@barnet.gov.uk">cath.shaw@barnet.gov.uk</a> Amy Steel, Corporate Strategy Officer <a href="mailto:amy.steel@barnet.gov.uk">amy.steel@barnet.gov.uk</a>

### Summary

A motion was passed at Council on 26 July 2016 that called on Policy and Resources Committee to consider the potential impact of Brexit on Barnet, in order to identify and respond to risks that may arise. Since this, three reports have been presented. The last report, presented on 20 February 2019, detailed the council's approach to planning for Brexit in order to ensure service continuity and provide re-assurance and support for council employees, residents and businesses. The current report provides an update on this activity.

This report sets out the council's approach for identifying and mitigating potential risks and opportunities arising from Brexit, which includes the development and ongoing review of an impact log. This has centred around the exploration of a set of key themes where it is anticipated there may be a potential impact to the council and the services it delivers, and the wider borough.

Due to the uncertainty and changing picture on a national level, the implications of Brexit are difficult to assess as the terms of exiting the European Union are yet to be confirmed. Work has been undertaken, using insight and data, to assess as far as possible how likely issues and opportunities are to occur and how significant the impact would be. Where necessary and possible, mitigating actions have also been identified. As well as looking at potential impacts on services and areas which are the direct responsibility of the council and its delivery partners, we have also engaged with other public, voluntary and private sector organisations in the borough through the partnership board.

As all local authorities, as well as central government, are undertaking similar preparations, we have ensured that this work has linked into guidance from central Government, the LGA, London Councils, London Resilience Forum and other local forums.

## Officers Recommendations

1. That the Committee notes the action being taken to ensure that Barnet is prepared for the UK's departure from the EU.
2. That the Committee notes the approach to spend on Brexit preparation funding as set out in 11.2.
3. Authority is delegated to the Deputy Chief Executive (the Council's Brexit Lead officer) to take decisions in respect of the funding approach set out in 11.2.

### 1. WHY THIS REPORT IS NEEDED

- 1.1 This report is required to outline Barnet's approach to Brexit preparedness and the potential implications, opportunities and risks.

### 2. BACKGROUND

- 2.1 A motion was passed at Council on 26 July 2016 that called on Policy and Resources Committee to consider the potential impact of Brexit on Barnet. A report presented at a subsequent committee agreed monitoring a basket of indicators which reflected the broad trend in the local economy, labour market, and local community cohesion.
- 2.2 Council on 29 January 2019 further resolved to instruct Policy and Resources Committee to receive a report at its next meeting (20 February 2019) detailing the council's contingency plans in order to ensure service continuity and provide re-assurance and support for council employees, residents and businesses at this time.
- 2.3 This report acts as an update to the report taken in February. It is important to note that between February and October, many of the potential risks and impacts have not moved on significantly as the majority are either longer-term, will be better explored when we understand the terms of our departure from the EU, or when that departure has happened. In some areas, there is much greater clarity, for example with the introduction of the EU Settlement Scheme.
- 2.4 Due to the uncertainty and changing picture on a national level regarding Brexit, it is difficult to assess potential impacts on Barnet with certainty. Therefore, the council is

preparing for potential impacts that could occur under either a deal or no deal scenario. This work will evolve as more information is made available.

### **3. NATIONAL CONTEXT**

- 3.1 On 23 June 2016, the UK voted, 52% to 48%, to leave the EU, having been a member since 1973. Voters in Barnet voted 62% to 38% to remain, broadly in line with the rest of London (60% remain). 'Article 50' was triggered by the UK Government in March 2017, giving the country two years to negotiate an exit deal.
- 3.2 A Withdrawal Agreement and Political Declaration on the future relationship between the UK and the EU was endorsed by EU leaders on 25 November 2018. On 29 January 2019, Parliament voted to seek to amend the Agreement to put in place alternative arrangements in respect of the Northern Irish Border. The Withdrawal Agreement was rejected by Parliament, for a third time, on 29 March 2019. This was followed by an extension of Article 50 until 31 October.
- 3.3 It remains the legal default to leave on this date; however, the European Union Withdrawal (No 6) Act 2019, which received Royal Assent on 9 September 2019, requires the government to seek a further extension to Article 50 should a deal not be reached by 19 October 2019.
- 3.4 To support local authorities with Brexit preparations, the Government announced funding allocations in January 2019 and August 2019. All London boroughs have received approximately £315k over the 18/19 and 19/20 financial years, with port authorities receiving additional funding.

### **4. OUR APPROACH**

- 4.1 Through research and guidance from central government, the LGA, London Councils and other local authorities; a set of themes have been identified which have been used as a framework for assessing opportunities and mitigating potential risks. This has been captured through the creation of an impact log (appendix A) which focuses on the following themes:
  - workforce
  - citizens' rights
  - community cohesion
  - council funding
  - supply chain
  - IT/systems
  - legislation
  - economy
  - emergency planning
  - elections
- 4.2 The log does not address issues that are specifically the responsibility of other public bodies, such as NHS business continuity issues, except in so far as they might directly impact the council and its ability to deliver services.
- 4.3 Due to uncertainty around the nature of the deal or whether one will be achieved, the log includes opportunities and risks that could occur under either a deal or no-deal scenario.

Following the publication of the Operation Yellowhammer report, these scenarios have been incorporated into our planning where necessary.

- 4.4 This impact log is a live document and the council continues to assess the risks and opportunities under the themes identified as more information becomes available nationally, and the terms of any deal become clearer. This impact log guides the preparatory work of the council, helping to highlight any areas where further work or mitigations are needed. In addition to the impact log, the council's existing emergency and business continuity plans have been reviewed in light of the emerging guidance on the potential impacts of leaving the European Union.
- 4.5 A weekly working group was established at the start of the year, chaired by the Deputy Chief Executive. This group consists of senior officers from across the organisation, and is responsible for monitoring and adjusting plans as appropriate, and ensuring that agreed actions have been undertaken.
- 4.6 In addition to this, a Brexit Core Group has been set up to look at the cross-cutting business continuity risks; including transport and the welfare of vulnerable people. This will incorporate assessing the cumulative effect of these risks on the council.
- 4.7 We have also engaged with our delivery partners who are responsible for delivering services on behalf of the council, and have representation in the working group. These organisations identified many similar issues to the council, and have been incorporated into the impact log.
- 4.8 Keeping abreast of national developments also forms a key part of our approach and we will continue to monitor and follow any guidance provided by central government and national bodies. The council is represented on the London Resilience Forum, Local Authorities Panel, London Councils and London Prevent Network who take a co-ordinated approach to reporting information to the Ministry of Housing, Communities and Local Government (MHCLG).
- 4.9 The council continues to participate in pan-London conference calls and meetings to ensure our preparations align with what is taking place on a national level, which includes sharing thinking with other London boroughs. As part of this, we have reviewed the risk logs and preparatory plans of other authorities to benchmark our approach.

## **5. BREXIT IMPACT LOG**

- 5.1 As described in the above section, our approach has centred around the exploration of a set of key themes where it is anticipated there may be a potential opportunity or impact to the council and the services it delivers. Work has been undertaken, using insight and data where available, to ascertain how likely these are to occur and how significant the impact would be if they were to. Mitigating actions have also been identified where necessary and possible. Further detail around each of the themes is set out within this section.
- 5.2 Since the impact log was first published in February 2019, many risk areas have remained stable in terms of their likelihood and impact, and therefore in some areas there is no significant update. This is primarily due to the fact that the national picture remains uncertain and we are still yet to know under what terms we will exit the EU.

Many of the identified risks are also anticipated to either have a longer-term impact, or will not be realised until after our exit from the EU.

### 5.3 Workforce

- 5.3.1 Approximately 6.5% of the council's directly employed workforce (112 individuals), and an additional 34 agency workers are from EU27<sup>1</sup> countries. The majority of these individuals work within our Streetscene and Family Services departments. The council has been, and will continue to, monitor levels of recruitment and retention in these services to see if any targeted support is required. To date, the turnover rate across the council remains stable and there have been no significant changes in vacancy rates. Once the potential Brexit outcome is known, work will be carried out with service areas to review the impact and any support requirements for employees.
- 5.3.2 Support is in place to help employees apply for EU settled status where necessary. This will be done through the Registrar's service, where the usual fee will be waived. Communications materials have been cascaded to ensure this message is disseminated across the organisation. Targeted HR support will also be offered to the Streetscene and Family Services directorates where the majority of the council's EU27 nationals work.
- 5.3.3 Sectors such as health, social care, environmental services and construction are known to employ high numbers of EU27 nationals. If Brexit exacerbates already apparent recruitment and retention issues in these areas, it may lead to business continuity challenges or some increased financial pressures, as a lack of supply increases wages in these areas. However, more vacancies in these sectors may also present an opportunity to support lower skilled residents to secure better paid employment.
- 5.3.4 In Barnet, approximately 27% of workers across our Adults Social Care supply chain have EU27 nationality; equating to around 2,800 individuals. Due to the existing pressures in Adults Social Care, there is a Sustainability and Transformation Partnership (STP) work programme already in place to review and mitigate risks. Barnet is leading the workstream on workforce and maintains strong links with local, regional and national initiatives. The Executive Director of Adults and Health wrote to adult social care suppliers, at the beginning of the year, asking them to update their business continuity plans and signposting them to support that they can access to help with staff retention issues and providing them with a key contact in Adults and Health that they can contact to raise any specific concerns they have relating to workforce retention.
- 5.3.5 The Adults and Health Care Quality Service has regularly contacted providers with updated guidance from central government and the Care Quality Commission and this is also discussed directly with providers through contract management and monitoring arrangements, as well as monitored through the council's provider concerns process where a supplier experiences quality issues. In April, the Adults and Health Care Quality service also contacted key adults social care providers asking them to rate the level of risk providers are experiencing/expecting as a result of Brexit. Beyond the on-going workforce issues within the care sector, there have been no significant issues raised in regard to specific risks of Brexit. The Care Quality Service maintain a programme of engagement with local providers to highlight opportunities regarding recruitment and

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<sup>1</sup> Throughout this report, when referring to EU27 nationals, this is also inclusive of EEA and Swiss citizens.

retention. This will ensure Barnet remains an attractive place to work with access to training and skills enhancement sponsored by key commissioners (LBB, CCG).

5.3.6 The council has a significant capital investment, regeneration and house building programme to deliver over the next five years, and beyond. A significant proportion of our supply chain providers for construction and environmental services rely on European staff to maintain their operations and deliver construction projects. If there are staffing shortages, this has the potential to slow down or increase costs of projects and business as usual services. This is a concern that has been noted by CSG, Re and The Barnet Group. Although there are limits in what we can do in terms of mitigations, we can advise our providers on recruitment and retention initiatives via our Skills teams, including recruitment of apprentices. This also has the potential to open up opportunities to upskill local people to access jobs in these areas. The provider of the council's Highways services has reported that to date they have not seen a substantive drop in the European workforce, however, they have noticed that it has been more difficult to recruit over the past year. Our Strategic Construction Partners have informed that currently they have seen no difficulties in recruitment.

#### 5.4 Citizens' rights

5.4.1 As at the last published monthly update of the Register of Electors (2 Sept 2019) there were 30,650 EU27 nationals registered to vote in Barnet. It has been confirmed by the government that if you are an EU27, EEA or Swiss citizen, you and your family can apply to the EU Settlement Scheme to continue living in the UK after 30 June 2021. If your application is successful, you'll get either settled or pre-settled status. Both statuses entitle citizens to the same rights, those with pre-settled status will be eligible for settled status after five years of continuous residence. The deadline for applying is 30 June 2021. However, if there is a no deal scenario you will need to be living in the UK before it leaves the EU to apply. The deadline for applying will then be 31 December 2020. Government has confirmed that in the event of a no deal exit, a separate scheme will be established to give temporary leave to remain to EU27, EEA and Swiss nationals and their families arriving after 31 October 2019.

5.4.2 Once an individual has settled or pre-settled status, their rights remain the same and they will continue to have access to the same benefits and services. We are not, therefore, expecting a sudden increase in residents having "No Recourse to Public Funds".

5.4.3 To aid our residents, communities and businesses we have developed an information page on our website to share information and advice. <https://www.barnet.gov.uk/your-council/advice-citizens-and-business-exiting-european-union>.

This will signpost to central government websites as well as sources of content that are nationally recognised as having valuable information, guidance and advice. In addition to this, we will use our range of communications channels to keep people up to date with any crucial developments, particularly around any impact on a local level.

5.4.4 The process to apply for EU settled status is primarily online via the Home Office. As of Monday 1 April 2019, the council started offering support with the digital ID verification process which is part of the application. Residents who are unable to use the app can therefore book an appointment with the Registrar's service to have their passport checked and verified in person. This service has now supported over 360 people, and

overall data shows that in Barnet there has been over 15,000 applications for EU settlement (as of 30 June 2019). Due to this increased demand on the Registrar's service, a temporary worker has been brought in to add capacity in the short term, so more appointment slots can be offered.

- 5.4.5 Local authorities also have a responsibility towards children in care, care leavers, vulnerable residents and those who are homeless to ensure they apply for EU settled status where necessary. Frontline staff in Adults and Childrens services are currently working to support this. There are currently 21 young people within the local authority's care who are EU27 nationals, and social workers have been supporting these with applications and gaining legal advice where necessary. Two volunteers have also been trained within the Housing service to support with applications for clients who are homeless.
- 5.4.6 Charities and voluntary organisations across the UK are also being funded to provide help and information to vulnerable citizens applying to the EU Settlement Scheme. Practical support is available for a range of needs including disabled people, those with severe mental health conditions and those who are elderly or isolated. Within Barnet, Citizens Advice Barnet are providing this service and the council is actively referring and sign posting to this service through BOOST. We are also working with the Romanian Cultural Charitable Trust to provide support.

## 5.5 Community Cohesion

- 5.5.1 Community cohesion and the potential rise in community tension is a risk area that has been identified by both ourselves and other public, voluntary and private sector organisations in the borough. This could occur regardless of the scenario under which we exit, including a delay in exit or a non-implementation of the referendum result. During the two weeks following the referendum in June 2016 there was in total 25 more incidents of Race and Religious Hate Crimes reported than would normally be expected. Geographically, this was distributed evenly across the borough and a similar pattern was reported across the UK. However, it cannot be assumed that this rise was solely due to the referendum result as there may have been other attributing factors.
- 5.5.2 Over the past 12 months to July 2019, there was a 7.5% increase in racist and religious hate crimes in Barnet, however these principally relate to increases in anti-Islamic and anti-Semitic hate crime, and there has been no indication that this is related to Brexit. In the period between June and July 2019 Islamophobic hate crime rose by 2.7% and anti-Semitic hate crime rose by almost 44%.
- 5.5.3 If the rise seen following the referendum is mirrored when the UK exits the EU and there is an increase in community tensions, then this could cause extra demand on Community Safety teams and the Police. We have identified where different nationalities and faith groups are based across the borough in the view that this will help us to direct resources effectively and efficiently. Analysis has shown that the top five EU27 nationalities represented on the borough's register of electors are: Romanian, Polish, Italian, Portuguese and French. The top five wards that these EU27 nationals reside in are: Colindale, West Hendon, Hendon, Childs Hill and Burnt Oak. The council will continue to work with the police to share intelligence and information to provide any support required and direct resources where most needed.

- 5.5.4 On a national level, it has been advised by the Police that plans are in place to deal with disorder and any outbreaks of community tension. The council has close links with the Police through the Borough Resilience Forum and will continue to maintain strong levels of communication in the lead-up to our exit from the EU. This will enable the council and police to be aware of and respond to any potential issues. In addition, the Prevent Co-ordinator maintains regular contact with the Community Security Trust (CST) and Tell Mama to monitor anti-Semitic and Islamophobic hate crime and related community tensions locally. The Met Police Hate Crime Dashboard is monitored on a monthly basis to monitor trends in relation to hate crime as the deadline for Brexit approaches.
- 5.5.5 Work will also continue with partners through the Barnet Safer Community Partnership's delivery of The Barnet Zero Tolerance to Hate Crime Project. This brings together Barnet Council, the Police, Barnet Mencap and other community and voluntary sector partners in order to increase the awareness and reach of Barnet's Hate Crime Reporting Centres. The Barnet Zero Tolerance to Hate Crime Project will also continue to implement its programme of hate crime awareness and reporting training to staff across the partnership. This will include the delivery of a series of hate crime awareness workshops with community and user-groups in Barnet.
- 5.5.6 The council, in partnership with our strategic partners, is also running a programme of work that celebrates the diverse communities that make up Barnet and further encourages community cohesion.
- 5.5.7 Communications plans and processes to enable two-way information share between the council and community groups on any feedback or messages around community tension will be reviewed and updated to enable effective partnership working.

## 5.6 Council funding

- 5.6.1 The economic implications of Brexit for the council and borough are very difficult to forecast and quantify with the terms of exiting the European Union yet to be confirmed. There is insufficient detail available to be able to take a more informed view at this stage, and, due to this uncertainty, whilst refreshing the Medium Term Financial Strategy (MTFS), neither a positive nor negative impact has been assumed within the budget.
- 5.6.2 The MTFS has, and will continue to be, refreshed using the prevailing economic conditions. Indicators such as inflation, interest rates and currency variations are continuously being monitored to understand and manage any direct impacts on the budget or the performance of Pension Fund assets.
- 5.6.3 By way of illustration of the sensitivity the council is exposed to of economic factors, the following points highlight key implications:
- if inflation rates increased or decreased by 1%, general fund costs would increase or decrease by around £2.7m
  - if interest rates changed by 1%, the cost of financing the borrowing within the current capital programme would change by £2.4m
  - however, business rates income is linked to CPI changes. A 1% increase in interest rates would also increase our baseline funding by £0.6m



- the council's business rates income is part of the top-up or tariff system. Within this system there is a safety net meaning the maximum loss to individual authorities is capped in the event of a downturn. For Barnet, this cap equates to roughly £4.5m. Conversely any business rates gain through increased economic activity will be shared between the council, the GLA and Central Government on the prevailing rates of distribution (currently 48%:27%:25%).
- the council currently assumes roughly an additional 1,000 band D equivalent homes per year over the course of the MTFS. A 1% deviation from that trajectory will cause approximately a £56,000 change in the MTFS assumptions
- the council's capital programme consists of a significant amount of construction work with many materials coming from overseas. Most of these projects are fixed price however future projects may be impacted by currency fluctuations. A 1% change in the value of Sterling vs the Euro would result in +/- £11,000 per £1m spent within the Eurozone
- a short-term change in inflation wouldn't have much impact on the Pension Fund or its funding. Should a persistent change occur, this would affect the cost to the council in funding its pension liabilities due to changes in liabilities
- a short-term change in interest rates will not have a significant impact on the Pension Fund or its funding, however a persistent change would have an effect. Should interest rates rise, the value of liabilities would fall meaning that the council's contribution to the fund could reduce. Conversely, should interest rates fall then the contribution from the council may need to increase.

5.6.4 We will continue to closely monitor these factors together with indirect budget impacts such as the rate of delivery of new homes which drive Community Infrastructure Levy, New Homes Bonus, and the growth of the Council Tax base.

5.6.5 If there are significant negative impacts on the council's income or expenditure, the council will need to take immediate and robust steps to reduce its expenditure in order to maintain its core responsibilities whilst also setting a balanced budget. The council maintains reserves to insulate against sudden shocks and to provide sufficient time to respond to the changing environment.

5.6.6 We do not currently rely on funding from EU grants and therefore do not need to develop an exit strategy for those funding streams.

## 5.7 Supply chain

5.7.1 The supply chains for both ourselves and delivery partners has been highlighted as an area that could be significantly impacted. If border controls are imposed, then this may affect the ready availability of vital supplies e.g. foodstuff, fuel and medicines. Changes to border controls or trade tariffs could also affect our ability to purchase raw materials, goods and services. Construction has been highlighted as the most likely area to be affected by this.

- 5.7.2 The council has undertaken an investigation exercise to understand, as far as it can reasonably ascertain, if/how much we trade with the EU on any products or services. This exercise has confirmed initially-held views that very few of the council's contracts are directly held with companies in the EU – it is our supply chains that may be impacted, primarily for the construction industry. Where required, procurement specialists will advise service leads across the council in respects of identified risks with their existing contracts; and support them in their efforts to develop mitigating actions.
- 5.7.3 The council's strategic construction partner, Graham's, has assessed their supply chain and there are ongoing efforts to minimise material imports from the EU. Current on-going projects are near completion and it is therefore anticipated that ordering the remaining materials are unlikely to be affected in terms of delivery or costs.
- 5.7.4 The council's procurement team is currently working to include a clause in any major contracts that ensures any impacts caused by Brexit are picked up by the supplier. The contract for construction of the Thameslink station reflects the potential risks of Brexit, including price increases and delivery timescales.
- 5.7.5 The Barnet Group have also highlighted there may be potential pressure on construction projects and are mitigating this by ensuring they have a number of construction partners to meet demand, and have various contractual measures in place to protect from contractor insolvency.
- 5.7.6 The Government recognises the vital importance of medicines and vaccines, and has developed a UK-wide contingency plan to ensure the flow of these products into the UK in a 'no deal' scenario. The Government is working with pharmaceutical companies, suppliers, and the NHS to make sure patients continue to receive the medication they need if the UK leaves the EU without a deal. The Government has analysed the supply chain, made plans to reduce the risk of disruption, and given instructions to pharmaceutical companies to ensure that they have adequate stocks to cope with any potential delays at the border. To avoid the uninterrupted supply of medicines following Brexit, the Department of Health and Social Care (DHSC) are putting in place arrangements for an 'express freight service'.
- 5.7.7 Council contracts are held with sexual health and substance misuse providers, and we continue to monitor these contracts regularly ensuring that they reflect their responsibilities in sourcing adequate quantities and quality medicines. There has also currently been no indication of increasing costs from these suppliers.
- 5.7.8 While the advice from government is that it is unlikely there will be an overall shortage of food, there may be a reduction in choice. If there was a shortage of some types of food, the council would work with central Government and other regional and national organisations to respond. The council is currently monitoring national guidance and preparedness plans. Public Health England are also considering food supply chains and where shortages might occur. Advice received from central government and other national bodies is that stock-piling should not be done on a local or individual basis.
- 5.7.9 If there are border delays and traffic congestion then this could potentially affect fuel distribution across London. The government have advised that in most circumstances, industry is best placed to respond to minor incidents and outages. However, if the situation were to become significant, there are robust business continuity plans in place

on a national level to ensure that fuel supplies are distributed to critical services. The council’s own business continuity plans also address contingencies for dealing with fuel shortages, including the ability for employees to work flexibly if they are unable to travel. Council fuel suppliers have reported that they predominantly procure their fuel stocks from within the UK and hold a reserve capacity.

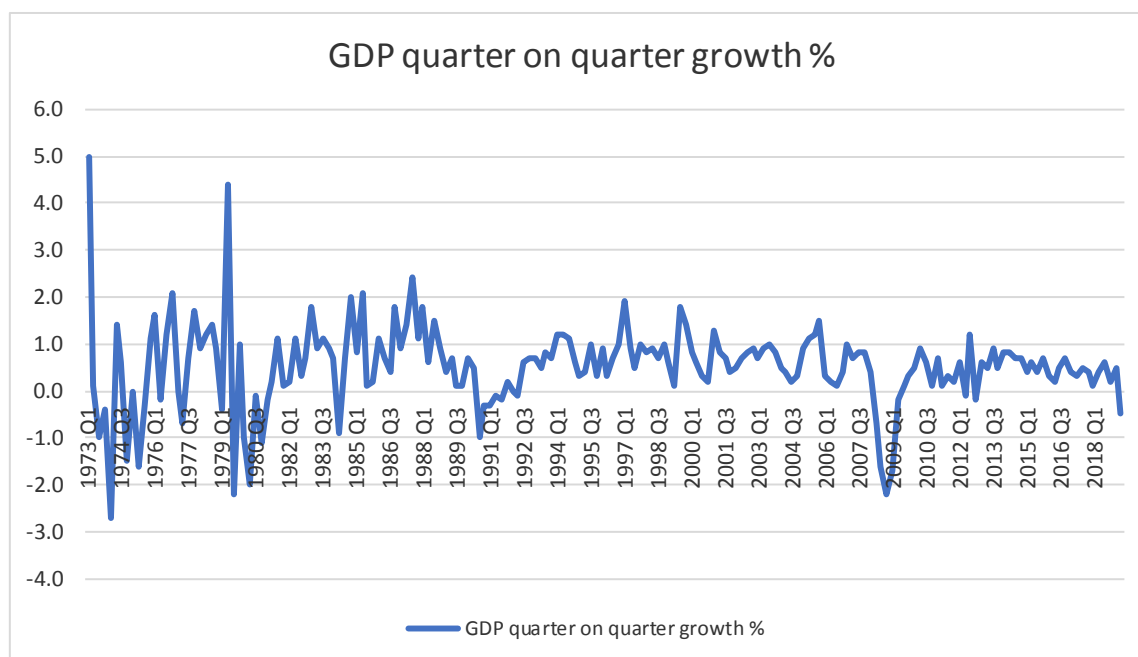
## 5.8 IT / Systems

5.8.1 It is not anticipated that there will be any negative impacts in this area as the majority of the council’s and its delivery partners’ data servers are hosted within the UK. We have one data server that is hosted within the EU. We are currently working with providers to confirm that access to data will remain when we exit the EU.

5.8.2 Work has taken place across the council with all data information leads to ascertain to what level we may be impacted by disruptions in data transfers. Currently, there are no reported risks as there have been no identified areas where we transfer data with the EU.

## 5.9 Economy

5.9.1 Since the referendum, quarter on quarter economic growth has fluctuated between -0.2% and 0.7%, with no discernible overall trend. However, these are comparatively low rates of growth, and economic growth fell last quarter (Q2, 2019) for the first time since 2012.



5.9.2 Current growth forecasts for 2019 and 2020 show that Barnet is projected to remain in line with the wider London economy and to outperform other West London Alliance (WLA) boroughs as a group. The Financial and Business Services sector, which is prevalent in Barnet, is also generally expected to outperform other economic sectors.

5.9.3 The short term economic impacts of Brexit are likely to depend on the detail of arrangements for leaving the EU. We will monitor the key indicators of interest rates, inflation, exchange rate and unemployment, and make any necessary proposals to amend budgets and/or the Entrepreneurial Barnet programme and forthcoming Growth Strategy, which govern our skills, employment and economic development activity.

5.9.4 The local Barnet economy is predominantly micro-businesses, typically providing business-to-business services, and so is likely to be affected in line with overall economic impacts. The Operation Yellowhammer report highlighted the risk a no-deal exit may pose to smaller businesses who are unable to develop more comprehensive contingency plans.

5.9.5 In the longer term, it will be important that the council takes advantage of any opportunities arising from Brexit, for example by supporting lower skilled workers through schemes such as the skills escalator.

## 5.10 **Emergency planning**

5.10.1 If there are situations that arise immediately following Brexit that affect the borough, residents and workforce, then the council will have a role in responding to and managing this. Key areas highlighted have been shortages of some food, medicine and fuel, alongside possible civil unrest. Therefore, it is important that the council has appropriate emergency plans in place to respond effectively. The council has undertaken a review of our emergency response and business continuity plans which will cover any potential Brexit related response.

5.10.2 To ensure we are resourced in the event of an emergency, the council led a campaign earlier this year to recruit a number of Borough Emergency Control Centre (BECC) staff. Training for all of these individuals is now complete, and availability will be checked for the end of October.

5.10.3 The council is also part of the London-wide resilience forum which includes other partners such as the police and fire brigade. Keeping abreast of national guidance and feeding into wider reports to central government will be an important part of how emergency situations are monitored and responded to on a national level.

5.10.4 In the event of an emergency situation, the refreshed emergency response and business continuity plans will be put into action as appropriate.

## 5.11 **Elections**

5.11.1 Electoral Services have, and are continuing to undertake, preparatory planning to ensure that we are as ready as possible for any short notice elections that may occur. Initial discussions have already taken place with venues and internal communications have been sent out to employees for them to register their interest in working at an election.

## 5.12 **Legislation**

- 5.12.1 On 26 June 2018, the European Union (Withdrawal) Bill 2017-19 (EUWB) received Royal Assent to become the European Union (Withdrawal) Act 2018 (EUWA).
- 5.12.2 The EUWA will repeal the European Communities Act 1972 (ECA 1972) on exit day. The ECA 1972 currently enables EU law to become part of UK law, and gives effect to the principles of direct effect and the supremacy of EU law.
- 5.12.3 Brexit legislation if there is no deal (no withdrawal agreement and no transition period):  
The new body of retained EU law will be created on exit day. Many of the Statutory Instruments (Sis) made in preparation for Brexit will come into force on exit day. The EUWA will repeal the ECA 1972 on exit day.
- 5.12.4 Brexit legislation if there is a deal (a withdrawal agreement and transition period):  
The government has confirmed that most policy changes under Brexit-related primary legislation will not be required until the end of the transition period. The European Union (Withdrawal Agreement) Bill (WAB) will give effect in UK law to the UK's obligations under the withdrawal agreement that require domestic implementation. It will, for example, give domestic legal effect to some of the citizens' rights provisions, and will amend the EUWA to ensure that EU law applies to and in the UK during the transition period.
- 5.12.5 Many Statutory Instruments have already been drafted to be brought into force either at the end of any transition period or on exit day.

## **6. IMPACT ON PARTNERS**

- 6.1 An important part of our approach to Brexit preparedness was reaching out to our partners to ascertain what preparations, if any, they are undertaking. This included both our delivery partners who we work closely with on a daily basis and are an integral part of the delivery of our services, as well as our strategic partners in the public, private and voluntary sector who we collaborate with to improve outcomes across the borough.
- 6.2 Key cross-cutting themes that partners have identified include concerns around their supply chains, workforce and overall community cohesion. There is also, a general feeling of uncertainty and a want for clearer guidance and support with preparations. The council will continue to liaise with partners to ensure that our preparedness approach is collaborative and that we are supporting one another to deal with any implications that arise or maximise any opportunities.

## **7. NEXT STEPS**

- 7.1 In the weeks leading up to and following Brexit, for as long as is necessary, the following will be done:
- keeping abreast of national developments and guidance;
  - feeding into pan-London and national reports;
  - weekly project group meetings to review the impact log and assess any further risks as they arise;
  - identified actions and mitigations to be put in place.

## **8. REASONS FOR RECOMMENDATIONS**

8.1 The proposed method of monitoring and assessing the impact of Brexit is deemed appropriate to ensure that any potential risks are identified and mitigated against appropriately and in a timely manner to help ensure the best outcomes for the borough.

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

9.1 The council could decide not to assess the potential impacts of Brexit. However, this could leave the organisation open to significant risks in terms of our ability to respond in an uncertain climate and impact the delivery of services.

## **10. POST DECISION IMPLEMENTATION**

10.1 The approach outlined in section 4 will continue. The mitigations identified will be implemented and the impact log will be a working document that is reviewed and updated at regular intervals.

## **11. IMPLICATIONS OF DECISION**

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

11.1.1 This approach will help the council identify potential risks early on and respond appropriately to continue to ensure the best outcomes for Barnet residents.

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

11.2.1 There are resource implications associated with officer time which includes; attending the weekly working group and core Brexit group, conducting impact analysis, reviewing and updating the impact log, delivering on mitigating actions, providing information to and sharing information from national bodies and central government, as well as attending meetings with central government and local and regional partners.

11.2.2 As stated in paragraph 3.4, approximately £315k has so far been allocated to Barnet. This funding is to support with preparatory work and therefore officer time for leading on the co-ordination of preparations are covered by this fund. From October, the council plans to recruit a temporary Programme Lead, who will lead on co-ordinating the council's preparations and response to any emerging issues if they arise. Part of this funding has also been used to employ a temporary officer to support with the increased demand on the Registrar's service to assist residents to apply for settled status.

11.2.3 Funding has been allocated to support the promotion of public information of the EU Settlement Scheme and Brexit preparation, as well as a programme of work around community cohesion, celebrating the diverse communities that live in Barnet.

11.2.4 The remaining funding will be allocated appropriately if further costs arise as agreed with the Deputy Chief Executive. If necessary the council can also allocate funding through the civil contingencies act, and committee decision if required. This could include drawing down funding from reserves.

11.2.5 The forecasted budget for 19/20 can be found below. No specific costs were incurred in 18/19.

<b>19/20 budget forecast – Brexit preparations</b>	
<b>Item</b>	<b>£</b>
Salaries (charging of officer time co-ordinating Brexit preparations and for Programme Lead from Oct -April)	£81,700
Promotion of EU Settlement scheme and signposting to Brexit preparedness public information	£10,000
Cohesion programme and campaign	£10,000
Registrars (October / November to be kept under review)	£3,165
<b>Total</b>	<b>£104,865</b>

### 11.3 Social Value

11.3.1 This decision does not relate to a service contract therefore there are no social value considerations.

### 11.4 Legal and Constitutional References

11.4.1 Under the council's Constitution Article 7, the Policy and Resources Committee Terms of reference include: To be responsible for those matters not specifically allocated to any other Committee affecting the affairs of the council; to be responsible for the overall strategic direction of the Council.

11.4.2 For legal references please see the legislation paragraph 5.12

### 11.5 Risk Management

11.5.1 Risks and mitigating actions are captured in the impact log.

### 11.6 Equalities and Diversity

11.6.1 Section 149 of the Equality Act 2010 sets out the Public-Sector Equality Duty which requires a public authority (or those exercising public functions) 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 persons who share a relevant protected characteristic and persons who do not
- Fostering of good relations between persons who share a relevant protected characteristic and persons who do not.

11.6.2 It is not anticipated that this approach to preparedness will have a negative impact on any protected group. The inclusion of community cohesion and citizens' rights risks within the impact log will enable early identification of any potential negative impacts.

11.6.3 With the UK's departure from the EU, there may be impacts on particular protected groups. This will be continually monitored through the weekly meetings and updating the impact log. Mitigations will be put in place where necessary for any negative impacts.

## 11.7 Corporate Parenting

11.7.1 The approach outlined in this report will help the council identify potential risks early on and respond appropriately to continue to ensure the best outcomes for Barnet residents, including Children and Young People that are in the care of the local authority.

11.7.2 Local authorities have the responsibility, as corporate parents, to ensure all children in care and care leavers are supported to apply for EU settlement where necessary. Paragraph 5.4.4 outlines how the council is meeting this requirement.

11.7.3 The council has also put measures in place to ensure the stability of the workforce and support Children's social workers and other Family Services support staff in applying for EU Settled Status. The council successfully took part in the pilot programme, and now has a free service available for employees to get support with their online application.

## 11.8 Consultation and Engagement

11.8.1 There is ongoing engagement taking place with a range of voluntary, public and private sector organisations to inform our preparations. Details of this are outlined in section 4, Our Approach.

## 12 Insight

12.1 Business intelligence drawn from across the council and wider sources has been used to populate the impact log and provide commentary within this report.

## 13. BACKGROUND PAPERS

13.1 Report to Policy and Resources Committee – Monitoring the impact of Brexit on Barnet, 5 October 2016:

<https://barnet.moderngov.co.uk/documents/s34903/Monitoring%20the%20impact%20of%20Brexit%20on%20Barnet.pdf>

13.2 Report to Policy and Resources Committee – Monitoring the impact of Brexit on Barnet, 27 June 2017:

<https://barnet.moderngov.co.uk/documents/s40458/Monitoring%20the%20impact%20of%20Brexit.pdf>

13.3 Report to Policy and Resources Committee – Brexit Preparedness, 20 February 2020:

<https://barnet.moderngov.co.uk/documents/s51200/Brexit%20Preparedness.pdf>



Theme	Risk / Opportunity	Data/insight	Likelihood	Impact	Long-Term/Short-Term	Response	Mitigation
Workforce	If more EU27 nationals leave the country or fewer arrive, then it could result in skills losses/shortages in areas more dependent on EU workers e.g. social care, care workers, nurses, healthcare, environmental services and construction. Recruitment and retention in already stretched workforce could be an issue for the council, our workforce supply chain, with foster carers and the economy more widely.	<p><u>Internal workforce</u> We have 112 EU27 Nationals directly employed in the council, of which:</p> <ul style="list-style-type: none"> <li>- 21 are Irish Nationals so are covered by the Common Trade Agreement</li> <li>- 42 are working in Family Services</li> <li>- 41 are in Streetscene.</li> </ul> <p>In addition there are 33 agency workers in Streetscene who are EU nationals and one agency worker in another part of the council who is an EU National.</p> <p>There have been no significant changes in vacancy rate.</p>	Medium	Medium	Long-Term	Treat	<p>Regular monitoring of workforce data in terms of any turnover.</p> <p>Starting recruitment and selection processes early.</p> <p>Use of apprenticeship levy to upskill workforce/look at less traditional skills.</p> <p>Support staff applying for EU settled status.</p> <p>Develop organisational resilience and flexibility to ensure short notice demand issues can be responded to positively.</p>
		<p><u>Adult social care workforce supply chain</u> Barnet figures: 10,500 jobs in social care Turnover in Barnet is c.20.7% 950 vacancies at any one time 27% of workers have EU27 nationality – c.2,835 people There has been no reported changes in workforce trends. Financial implications could be significant as we may need to pay more to retain supply.</p>	High	High	Long-Term	Treat	<p>There is a Sustainability and Transformation Partnership (STP) wide work programme to review and mitigate risk. A letter went out from the Council (Executive Director of Adults and Health) to suppliers asking them to update business continuity plans and signposting them to support that they can access to help with staff retention issues and gave them a contact to raise any specific concerns they had related to workforce retention.</p> <p>Barnet is leading the STP workstream on workforce and maintains strong links with local, regional and national initiatives which focus on the health and social care system. The Care Quality Service maintain a programme of engagement and comms with local providers to highlight opportunities regarding recruitment and retention. This will ensure Barnet remains an attractive place to work with access to training and skills enhancement sponsored by key commissioners (LBB, CCG).</p>
		<p><u>Environmental Services workforce supply chain</u> A significant proportion of the commissioned workforce for environmental services will potentially be affected by Brexit. A significant proportion of our supply chain providers rely on European staff to maintain their operations. Main concern is Highways contract which ends in 2 years time, this relies heavily on EU27 nationals and they are already facing difficulties in recruitment; this could result in any new contract being significantly more expensive.</p> <p>The London Highways Alliance Contract (LoHAC) have reported that they have not, to date, seen a substantive drop in the European workforce. However, anecdotally, it has been noticeably harder to recruit this year and it is suspected Brexit is having an impact on the availability of new people. It seems likely that under any scenario, recruiting lower skilled workers from the EU will be much more difficult in future.</p>	High	High	Long-Term	Treat	<p>There are limitations to how far we can mitigate this at this time. However, we can advise our providers with recruitment and retention initiatives via our skills Team. This may involve support with apprenticeships.</p> <p>Organisations have been working to grow talent from within the business as well as considering recruitment from further afield to plug the potential gap.</p>
		<p><u>Wider economy</u> Developers are already experiencing pressure on construction workforce, of which 25% of labour comes from EEA, which may have a potential impact on development in Barnet.</p>	Medium	Medium	Long-Term	Tolerate	<p>The council has limited capacity to impact the workforce in the wider economy; however, it will continue to focus on supporting local residents to access opportunities in construction and will continue to work with developers to bring forward sites for new housebuilding and other development. LBB is already protected from negative impact of Brexit on Brent Cross Thameslink.</p>
		<p><u>CSG/Re</u> Noted that there may be a potential increase in costs to replace staff or encourage EU nationals to remain. Main risk area is construction workers in the workforce supply chain.</p>	Medium	Medium	Long-Term	Treat	<p>Secure existing workforce/team through incentivisation schemes and re-assess recruitment policies.</p> <p>Close working relationships with contractors remains in place with enhanced face to face meetings diarised. Continued liaison with procurement will remain key.</p>
		<p><u>Cambridge Education</u> May experience some difficulties with getting Personal Assistants for SEN Transport as this workforce is heavily reliant on EU27 nationals.</p>	Low	Low	Long-Term	Treat	<p>Cambridge Education have checked with all suppliers for SEN transport and they have assured that there is currently no identified impact, and that it is low risk and no further action is needed.</p>
		<p><u>The Barnet Group</u> Circa 10% of The Barnet Group staff are from EU. Circa 20% of maintenance contractors are from EU. Circa 25% of construction staff are from EU</p>	High	High	Long-Term	Treat	<p>Shift resources to teams that have the highest priority tasks.</p> <p>On most construction contracts we have a fixed price, so the cost risk sits with supplier, but there would be a likely impact on output. For contractors, in particular day to day maintenance, we would prioritise repairs and planned works until resource gap could be filled.</p>
Citizen's rights	If Barnet residents who are EU27 nationals feel uncertain about their future, they may feel anxious.	<p>Central government have produced webpages to guide residents and businesses, living in both UK and EU. They have also developed a checker tool to try and ensure residents are guided through the steps they need to take to prepare. It has been confirmed that if you're an EU27, EEA or Swiss citizen, you and your family can apply to the EU Settlement Scheme to continue living in the UK after 30 June 2021. If your application is successful, you'll get either settled or pre-settled status. The deadline for applying is 30 June 2021. However, if there is a no deal scenario you will need to be living in the UK before it leaves the EU to apply; the deadline for applying will then be 31 December 2020.</p> <p>Citizens rights with settled and pre-settled status will enable them to:</p> <ul style="list-style-type: none"> <li>- work in the UK</li> <li>- use the NHS</li> <li>- enrol in education or continue studying</li> <li>- access public funds such as benefits and pensions, if you're eligible for them</li> <li>- travel in and out of the UK</li> </ul>	Low	Low	Short-Term	Treat	<p>Webpage on Barnet Council website which signposts to useful central government information. Improved tagging of the Brexit pages so residents can find them more easily.</p> <p>Launch of 'Together, we are Barnet' community cohesion campaign to highlight the important contributions our diverse communities bring to the borough.</p> <p>Keeping residents and community groups up to date via media channels with any useful information we receive.</p> <p>Development of a detailed communications plan for how we're going to continue to communicate with residents, businesses and the VCS in the lead up to our exit and following this.</p>
	If EU residents are seeking British Citizenship, then this could increase demand on the registrars' service.	<p>The EU settlement process is primarily online via the Home Office. The need to access the Registrar's service should therefore be minimal, however support may be needed for those who are unable to access this.</p> <p>As at the last monthly publication of the Register of Electors (2 Sept 2019) there are 30,650 EU27 nationals registered to vote in Barnet.</p> <p>When the settlement scheme fully opened in March 2019, the council began offering appointments to support residents with their applications where necessary. The service has now supported over 360 people, with the highest number of appointments being in the first week the service went live. This is in line with the trend across London and nationally.</p> <p>Overall, data shows that in Barnet there has been over 15,000 applications for EU settlement (as of 30 June 2019).</p>	Medium	Medium	Short-Term	Treat	<p>There is a London wide Registration panel which Barnet attend and any training/capacity issues are discussed here so we can ensure the service is prepared as the situation develops.</p> <p>Due to increased demand, a temporary officer has been recruited in the Registrar's service to support and ensure enough appointment slots can be offered.</p> <p>In terms of supporting EEA nationals who are homeless, we have been actively encouraging people to apply for settled status and have trained 2 volunteers to assist clients with their applications.</p>
	If EU laws and rights for UK citizens living in the EU change, then UK expats could return to the UK. These are likely to be people who are elderly or who need to access services.	<p>Difficult to understand the impact of this at this point as UK citizens' rights living in EU countries are yet to be confirmed. If there are no changes to rights then no impact is expected.</p>	Low	Medium	Long-Term	Tolerate	<p>Levels of demand coming through adults social care is already monitored and reported on as business as usual. This activity will continue and any spike in demand will be picked up. We will continue to ensure residents remain in the community where possible and suitable to refrain from placing in more expensive residential care.</p> <p>We will continue to monitor national guidance to keep abreast of any new information.</p>

	<p>If the rights of EU27 nationals change and they are not eligible for the services that they are now, then the number of residents with no recourse to public funds may increase.</p>	<p>Local authorities have a statutory duty to provide support to residents with no recourse to public funds and currently receive no additional central funding to cover the associated costs. This could become a complex and resource-intensive area of work should the number of NRPF residents increase after we leave the EU.</p> <p>It is not expected that the rights of EU27 nationals will change as the following has been confirmed:</p> <p>EU, EEA and Swiss citizens can apply for settlement which:</p> <ul style="list-style-type: none"> <li>- If living in the UK by 31 October 2019, will be able to continue receiving UK benefits on the same terms as now.</li> <li>- If moving to the UK after EU exit; can enter the UK however will need to apply for European temporary leave to remain to stay longer than 3 months and before the UK's proposed new skills-based immigration system begins in 2021.</li> </ul> <p>European temporary leave to remain can only be applied for once we have left the EU. Applications must be made by 31/12/2020 and will be free of charge. Applicants will need to prove their identity and declare any criminal convictions. Successful applications will permit the applicant to stay in the UK for up to 36 months. This will provide access to work in the UK, use the NHS, enrol for education, access public funds and benefits, and travel in and out of the UK.</p>	Low	Medium	Short-Term	Tolerate	Currently seeking further clarification from central government on the proposed eligibility of citizens in more complex situations to claim benefits and access related support services.																																		
	<p>In the event that the UK will be required to take part in the EU Parliamentary elections, all EU citizens registered to vote MUST make a declaration (via an 'EC6' form) that they will vote in the UK for these elections by 7 May 2019 – or they will not be entitled to vote.</p>	<p>As at the last monthly publication of the Register of Electors (2 Sept 2019) there are 30,650 EU27 nationals registered to vote in Barnet.</p> <p><b>This risk can now be CLOSED</b> - as the EU elections did go ahead and were successfully delivered within Barnet. Approx 22% of EU citizens did return an EC6 form and voted in Barnet (similar levels seen across all of London) and there are no outstanding contacts, complaints or enquiries in relation to EU residents voting rights.</p>	Low	Low	Short-Term	Tolerate	No mitigation needed, as risk closed																																		
Community cohesion	<p>If there is an increase in community tension and hate crimes due to either the implementation or non-implementation of the referendum result or the extension of the withdrawal process, then this could cause extra demand on community safety/the police.</p> <p>Police resource might also be diverted elsewhere e.g. ports which could cause extra strain on Barnet's own resource.</p>	<p>There is currently no evidence of any specifically Brexit-related community tensions.</p> <p>In terms of Racist or Religious Hate Crime there has been a 7.5% rise in Barnet in the 12 months to July 2019. There was a peak of 106 offences in March 2019 (compared to a long-term monthly average of around 63 per month). A similar spike was also seen during March in London overall. In terms of some of the different types of Religious Hate Crime during this same period (12 months to July 2019 compared to a year ago) there was a 20% increase in anti-semitic hate crimes (which peaked with 27 reported in July) and a 12% fall in the number of Islamophobic hate crimes. Between June and July 2019 Islamophobic hate crime has risen by 2.7%, and anti-semitic hate crime has risen by almost 44%.</p> <p>Monthly breakdown of number of Racist and Religious Hate Crimes reported in Barnet:</p> <table border="1"> <tr><td>Jan 2019</td><td>41</td></tr> <tr><td>Feb 2019</td><td>62</td></tr> <tr><td>Mar 2019</td><td>106</td></tr> <tr><td>Apr 2019</td><td>50</td></tr> <tr><td>May 2019</td><td>73</td></tr> <tr><td>Jun 2019</td><td>84</td></tr> <tr><td>Jul 2019</td><td>78</td></tr> </table> <p>The top five EU nationalities represented on the borough's register of electors are:</p> <table border="1"> <tr><td>Romanian</td><td>6495</td></tr> <tr><td>Polish</td><td>5327</td></tr> <tr><td>Italian</td><td>3458</td></tr> <tr><td>Portuguese</td><td>2256</td></tr> <tr><td>French</td><td>1677</td></tr> </table> <p>The top five Wards for EU electors are:</p> <table border="1"> <tr><td>Colindale</td><td>2802</td></tr> <tr><td>West Hendon</td><td>2385</td></tr> <tr><td>Hendon</td><td>2288</td></tr> <tr><td>Childs Hill</td><td>2277</td></tr> <tr><td>Burnt Oak</td><td>1969</td></tr> </table>	Jan 2019	41	Feb 2019	62	Mar 2019	106	Apr 2019	50	May 2019	73	Jun 2019	84	Jul 2019	78	Romanian	6495	Polish	5327	Italian	3458	Portuguese	2256	French	1677	Colindale	2802	West Hendon	2385	Hendon	2288	Childs Hill	2277	Burnt Oak	1969	Medium	Medium	Short-Term	Treat	<p>Review communications plans and processes for keeping community groups informed on any feedback or messages around community tension.</p> <p>Continued delivery of The Barnet Zero Tolerance to Hate Crime Project which brings together Barnet Council, the Police, Barnet Mencap, and other community and voluntary sector partners in order to increase the profile and reach of Barnet's Hate Crime Reporting Centres.</p> <p>Continued delivery (under the Barnet Zero Tolerance to Hate Crime Project) of programme of Hate Crime Awareness and Reporting Training to staff across the partnership and programme of community engagement. This will include (during 2019) delivery of Hate Crime Awareness workshops with community and user-groups in Barnet.</p> <p>The council, in partnership with our strategic partners, are also running a programme of work that celebrates the diverse communities that make up Barnet and further encourage community cohesion.</p>
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	<p>If there is an increase in community tension, then this could cause a risk to council and civic builds and their occupants / frontline staff.</p>	<p>Security is currently well managed, with a fair degree of security intelligence available.</p>	Medium	Medium	Short-Term	Treat	Negative consequences of Brexit will be added to building security agenda.																																		
	<p>If people aren't able to donate to foodbanks, and vulnerable residents cannot get the supplies they need, then they may become a potential pressure point for community tension.</p>	<p>Nationally, people with disabilities (both physical and learning disabilities), those on low incomes, 16-25 year olds who are vulnerably housed or care leavers, new migrants, and isolated older adults are most at risk of food insecurity. This is reflected in food bank attendees in Barnet. The highest risk areas for potentially experiencing food poverty and those most likely to access foodbanks are Underhill, Burnt Oak and West Hendon.</p>	Low	Medium	Short-Term	Treat	Needs analysis of food poverty in Barnet has been undertaken and will be presented to the Health and Wellbeing Board in October 2019. This helps to highlight the highest risk areas and therefore where resources should be targeted.																																		
Council funding	<p>If there is a loss in EU funding and there is uncertainty over the value and eligibility conditions of any replacement funding, then this may impact projects.</p>	<p>We currently do not receive any EU grants which would leave the Council with a funding shortfall. The Council has previously received grants such as ESF however these have been discontinued.</p>	Low	Low	Long-Term	Tolerate	No mitigation needed.																																		
	<p>If there is slow growth of the UK economy, volatile markets, changes to exchange rates and increased trade tariffs, then this could reduce Local Authority revenue from business rates, new homes bonus and council tax; as well as infrastructure investment from Community Infrastructure Levy.</p>	<p>A worst case Brexit could possibly result in a funding deficit.</p> <p>This could be caused by:</p> <ul style="list-style-type: none"> <li>- Inflation rising</li> <li>- Interest Rates increasing</li> <li>- Additional Welfare related services</li> <li>- Change in collection fund assumptions (reduced growth in Tax Base and NNDR reductions)</li> </ul>	Medium	High	Long-Term	Treat	<p>Monitoring the key indicators of interest rates, inflation, exchange rate and their impact on the council and pension fund. Should this occur, the council will need to take immediate and robust steps to reduce its expenditure in order to maintain its core responsibilities whilst also setting a legal budget.</p> <p>The council's medium-term financial strategy is currently being refreshed with a sensitivity analysis to incidents such as a recession.</p> <p>Treasury management to be involved in strategic planning to understand how risk management, funding and cash management strategies will need to change.</p>																																		
	<p>If macroeconomic impacts such as currency valuations and interest rates change then it could impact on the pension funds valuation and funding level leading to a requirement for increased contributions to the fund from the council</p>	<p>Since May 2019, sterling has depreciated by 7% against both the dollar and the euro.</p>	Medium	High	Long-Term	Treat	<p>Hedging of funds in different currencies helps to mitigate the risk of sterling devaluing. Additionally the council can benefit should sterling appreciate</p> <p>The Pension funds investment strategy inherently ensures that risks are managed through the purchase of a mix of asset classes. This means that if interest rates are low, then the fund can still achieve a good return on other investment types such as equities.</p>																																		
	<p>If there is an increase in the number of families - and therefore pupils - leaving the country, then there may be changes to how schools are funded and to what level.</p>	<p>Minimum Funding Guarantee (MFG) is used by the Department for Education (DfE) to ensure no school loses a significant amount of funding. However, the MFG is a guarantee per pupil so doesn't protect schools against falling numbers. Potential risk that schools go into bigger deficits to the point where some become unviable.</p> <p>79% of schools nationwide are expecting a budget deficit in 19/20.</p>	Low	Low	Long-Term	Treat	<p>Finance to continue to monitor, with the help of schools, current funding arrangements and pupil levels to pre-empt future funding changes.</p> <p>It is the School Admissions Team within Cambridge Education that monitor the projections for the need for school places, based on GLA projections, as well as the actual place take up at each school.</p> <p>This is a longer-term risk which will be monitored following exit from the EU.</p>																																		
	<p>If the development industry slows down for reasons such as: reduced workforce, increased costs and reduced sales, then this could cause financial implications for the council.</p>	<p>Economic slowdown could lead to reduced income from:</p> <ul style="list-style-type: none"> <li>- Planning application fee (currently circa £1 million per annum).</li> <li>- Building control fee</li> <li>- CL receipts which would impact on partners such as health (currently circa £10 million per annum based on site starts)</li> <li>- Section 106 benefits, including affordable homes, contributions to highways and education (currently circa 400 affordable homes per annum and £10 million for other uses).</li> <li>- Major council regeneration schemes could stop or slow down.</li> </ul>	Medium	Medium	Long-Term	Tolerate	The number of major planning applications is being closely monitored to ensure the right number of staff are in place to deal with them. Overall, there has been no significant changes in planning applications over this year.																																		
	<p>If there is a reduction in rental prices due to lower values/house price drop, then this could have financial opportunities or implications for the council</p>	<p>In the medium term, this would have a net benefit to the council as cheaper market rented properties for temporary accommodation could be available. However, in the long run the tax base may be affected by a slow down in developments.</p>	Low	Medium	Long-Term	Tolerate	No mitigation needed.																																		
	<p>If the council is insured by companies registered in the EU and the passporting arrangements are not in place, then the council may not have appropriate insurance cover and may have to review the provision of some services.</p>	<p>2 out of 4 of the council's insurers are based in the EU (Ireland and Sweden) but both have a UK branch authorised to trade under UK law.</p>	Low	Low	Short-Term	Tolerate	No mitigation needed at this stage.																																		

	<p>If we trade with the EU on any products or contracts, then we could face an increase in costs on imported goods due to the possible imposition of tariffs. If there are increased border controls or changes to trade tariffs, then our ability to purchase raw materials, goods and services might also be affected e.g. social care equipment, tarmac for highways, bricks and mortar for construction.</p>	<p>There are 2 council contracts that have identified direct European involvement and key procurements for 2019 have been identified and discussed at Procurement Board:</p> <p>1) Prepaid cards service delivered by Wire card who are based in Munich, Germany. Procurement process is already being accelerated due to Medium Term Financial Planning needs. New contract now live and in trial stage with Mastercard who are a global provider.</p> <p>2) Street Scene Bin Collection services (Digital) by Agile Applications who are based in Bristol; however, all digital development takes place in Spain. This is a new contract at contract award stage. Street Scene are aware and will seek to add in clauses where appropriate before contract award.</p> <p>There is also a contract for construction of the Thameslink station which is due to be awarded soon. This reflects the potential risks of Brexit, including price increases and delivery timescales.</p> <p>In terms of the councils supply chains:</p> <p><b>Strategic Construction Partner has reported that</b></p> <ul style="list-style-type: none"> <li>About a third of its workforce of those 'on-site' are Eastern European and this is an identified risk. However, given the UK has waived residency for 2 years post Brexit, it is not an immediate issue. Currently there are no difficulties in recruitment.</li> <li>They have assessed their supply chain and there are ongoing efforts to minimise material imports from the EU.</li> <li>There is little financial pressure as the work pipeline is strong with plenty of projects to be working on during the current uncertainty.</li> </ul> <p><b>Street Scene:</b></p> <p>Many parts of the fleet have parts coming from EU, especially Germany. Contract for spares, consumables &amp; specialist maintenance is at clarification stage and contract for collection vehicles is at evaluation stage.</p>	Medium	Medium	Long-Term	Treat	<p>All Barnet contracts have a clause covering inflationary options, where possible no inflation is awarded, some contracts have in-built uplifts, in line with movements in indexation against national indices (e.g. RPI, CPI, etc), and others are subject to contractor-requested inflationary review.</p> <p>EU exit procurement risk has been added to the CSG procurement risk register. CSG Procurement are highlighting to service leads the importance of considering if procurement activity needs to start sooner to account for possible delays in receiving goods once procurements are concluded.</p> <p>The council is working with major suppliers, including our strategic construction partner, to get updates on current status and position.</p>
Supply chains	<p>If border controls are imposed, then this may affect the ready availability of vital supplies e.g. fuel, foodstuff and medicines. It could also result in the proper trading standards checks not taking place and potentially importing food without adequate regulations.</p>	<p><b>Medicines:</b></p> <p>The NHS Confederation warns that, in the short term, there could be delays in importing medicines due to new border arrangements, requiring stockpiling and good supply chain management to ensure there will be no shortages. The creation of a medicines authorisation regime separate from the rest of the EU could lead to further delays. The UK could be excluded from the European Rare Diseases Network. This raises particular concerns regarding orphan medicines (treatments that aren't commercially viable for the UK market alone) as to whether such medicines will even reach the UK market, which will have implications for the treatment of rare diseases.</p> <p>The local implications for delays in medicine/increase in prices:</p> <ul style="list-style-type: none"> <li>Cost of provision of services may increase resulting in fewer people being treated.</li> <li>Sexually transmitted infections may increase.</li> <li>Untreated substance misuse cases may result in increased crime rates and antisocial behaviour as well as worsening public health outcomes.</li> </ul> <p><b>Food:</b></p> <p>While it is unlikely that there will be an overall shortage of food in the UK, there may be a reduction in choice, including some types of fresh food. This could result in a lack of access to healthy food.</p> <p><b>Fuel:</b></p> <p>Council fuel suppliers have reported:</p> <ul style="list-style-type: none"> <li>Fuel Oil - they predominantly procure their fuel stocks from within the UK and that they hold a reserve capacity. Prices are primarily driven by the World Oil prices and may well be less impacted by Brexit; however, the value of sterling could have an impact.</li> <li>Electricity - EU sources presently make up 7% of the UK's generation mix, with the majority of power generation coming from domestic means. Under a no-deal Brexit, cross-border flows will no longer be governed by European Energy Law and the UK's electricity market would be decoupled from the UK energy market and could result in interconnector transmission charges increasing, balancing services issues and a rise in transactional costs. National Grid has acknowledged that a no-deal Brexit could have a negative impact of £840M to the UK.</li> <li>Gas - UK is more reliant on foreign imports coming from Norway, Belgium and Netherlands, and Liquefied Natural Gas (LNG) deliveries coming from all over the world. The mechanism for cross border transmissions for gas is not expected differ from the current arrangement in the short to medium term as the interconnectors capacity is already booked and flow rates and costs are likely to be unaffected. Similar to electricity market, operation is currently controlled by EU law, although the UK may continue to operate by these principles. Overall a no-deal Brexit is likely to put greater reliance on LNG deliveries to the UK.</li> <li>In relation to Power &amp; Gas prices suppliers under the Councils contracts are held to honour the commodity prices and these are not expected to change with a no-deal Brexit. However LASER acknowledge the main concern with a no-deal Brexit is the impact on non-commodity prices, and the value of the pound particularly with fuel imports from abroad.</li> </ul>	Medium	Medium	Short-Term	Treat	<p>Nationally, there is a stockpile of the most crucial medicines for 2-3 weeks and NHS organisations all have Brexit preparedness plans in place. To avoid uninterrupted supply of medicines following Brexit, the Department of Health and Social Care (DHSC) will lead a procurement exercise to secure an 'express freight service'. It will transport small medical supply consignments into the UK within 24 hours if the UK leaves the EU without a deal.</p> <p>All council contracts with sexual health and substance misuse providers will need to reflect their responsibilities in sourcing adequate quantities and quality medicines. We continue to monitor regularly with our providers following national guidance, and we have currently had no indication of increasing costs from suppliers, therefore, there are no major concerns at this stage.</p> <p>There are robust business continuity plans in place on a national level to ensure that fuel supplies are distributed to critical services. The council's own business continuity plans also address contingencies for dealing with fuel shortages.</p>
		<p><b>Trading standards</b></p> <p>Potential increase in demand on service due to:</p> <ul style="list-style-type: none"> <li>an increase of products on the market that do not meet product safety</li> <li>food safety standards</li> <li>an increase in service requests as businesses may be selling products that are out of code, unsafe or counterfeit</li> <li>issuing health certificates for exports to the EU</li> </ul>	Medium	Medium	Short-Term	Treat	<p>Periodically have to deal with sudden increases in demand so will maintain current staffing levels and follow business as usual procedures.</p> <p>Ensure that intelligence operations focus on emerging threats and up-to-date knowledge of product imports.</p> <p>Monitor developments and advice coming from port authorities and central government departments.</p>
	<p>If demand for construction reduces, then construction companies may find themselves under financial pressure.</p>	<p>This year the number of insolvencies in construction has significantly increased as developers hold back, pre-Brexit. The impact on the supply chain is harder to quantify but may also be significant. The upside of this is potentially lower construction costs, as developers seek to maintain an order book of work.</p>	Medium	Medium	Short-Term	Treat	<p>The Barnet Group will ensure they have a number of construction partners and maintain an adequate working capital in each project. Various contractual measures are in place to protect from contractor insolvency including initial financial assessments of contractor balance sheet strengths, payment in arrears following independently validated valuations, NHBC or similar warranty insolvency requirements and in some instances performance bonds. ODH board has adopted a contractor insolvency policy.</p> <p>Despite all of these arrangements it remains a fact that if a contractor became insolvent on a part built scheme the impacts would almost certainly involve litigation and lengthy delays in delivery.</p>
	<p>If the EU cross border motor insurance agreement becomes void, then using vehicles abroad will require a green card from the insurer.</p>	<p>Most EU law that governs local authority services has already been incorporated into domestic law and will continue to apply when the UK leaves the EU, regardless of the form that exit takes. On exit, the UK Parliament would then be able to amend or introduce new legislation.</p>	Low	Low	Short-Term	Treat	<p>Establish contingency arrangements and ensure users (Transport and Schools) are aware of the need.</p>
	<p>If there are issues with maintaining staffing and supplies in the catering industry, then this could affect catering across Barnet schools (being provided by ISS).</p>	<p>Do not yet have clear evidence of a negative impact on either staffing or supplies. ISS tends to source locally where possible, though a lot of the Kosher goods come from Israel. There could be disruptions to the supply chain if there are delays at borders.</p>	Low	Medium	Short-Term	Treat	<p>Task force has been put together by ISS to look at the various aspects of Brexit and they are currently consulting with all their suppliers.</p>
IT	<p>If there are restrictions in access to the EU's various databases, networks and systems, then this could cause implications around the transfer and access of Council data.</p>	<p>We have 1 data server that sits in the EU (Core HR). The server is in Cork which could cause potential payroll implications.</p> <p>All of the Capita Data Centres are hosted within the UK and so is Office 365.</p>	Low	Low	Short-Term	Tolerate	<p>Mitigation not required - The EU and UK plan to use technology moving forward to address future working relationships between the two, implying that a future data sharing agreement would be agreed with or without a deal. There was also no impact on data access when GDPR was introduced for those countries accessing data outside of the EU.</p>
Legislation	<p>There are several pieces of EU legislation that relate to the way the Council delivers its services. If any of this legislation changes, then it would be likely to affect Council services (or our providers) including:</p> <ul style="list-style-type: none"> <li>energy efficiency</li> <li>waste collection and disposal</li> <li>trading standards</li> <li>procurement</li> <li>employment laws (working time directive changes)</li> <li>equalities</li> <li>transport</li> <li>health and safety</li> <li>GDPR</li> <li>data transfer</li> </ul>	<p>The EUWA will repeal the European Communities Act 1972 (ECA 1972) on exit day. The ECA 1972 currently enables EU law to become part of UK law, and gives effect to the principles of direct effect and the supremacy of EU law.</p> <p>The EUWA includes provisions that:</p> <ul style="list-style-type: none"> <li>Repeal the ECA 1972 on exit day (section 1).</li> <li>Retain existing EU law in domestic law (sections 2 to 4) by:</li> <li>Preserve UK law that implements EU requirements</li> <li>Converts into domestic law most (but not all) directly applicable EU law</li> <li>Converts into domestic law most of the other EU rights and obligations that before exit day were recognised and available in domestic law through section 2(1) of the ECA 1972</li> <li>Provide that retained EU case law be given the same binding, or precedent, status in UK courts and tribunals as existing decisions of the Supreme Court.</li> <li>Create a time-limited, delegated power enabling a minister to make secondary legislation to deal with deficiencies in retained EU law, such as its failure to operate effectively</li> </ul> <p>Many statutory instruments have already been drafted to be brought into force either at the end of any transition period or on exit day. These are designed to deal with deficiencies in retained EU law.</p>	Low	Low	Short-Term	Tolerate	<p>Follow national guidance and keep abreast of any changes to legislation or policy.</p>
	<p>If the above scenario were to occur, then CSG and Re have noted additional legislation that may be impacted on:</p> <ul style="list-style-type: none"> <li>Planning</li> <li>Building structural compliance</li> <li>Food standards and the ability to enforce regulations, leading to an increase of products entering the market which are not up to standard</li> </ul>	<p>Deregulation of planning legislation has been a recurring theme with previous economic downturns and this would be likely to continue in the event of an economic shock caused by a disorderly exit of the UK from the EU. Experts suggest the government might look to further deregulate planning in a bid to stimulate development</p>	Low	Low	Long-Term	Tolerate	<p>Whilst any proposals in changes to Planning Legislation or Building Regulations are unpredictable, consultation will take place giving the council a chance to feedback and prepare prior to implementation of any changes.</p>
	<p>If the government imports EU rules that are an impediment to local traders unchanged, then we could miss opportunities.</p>	<p>Awaiting further guidance and announcements.</p>	Low	Low	Long-Term	Treat	<p>Lobby government.</p>

Economy	If exchange rates fluctuate and there is an increase in inflation, which hasn't been offset by an overall increase in wages, then this could have a negative impact on people's purchasing power which could result in an increase in demand for services.	This is a longer-term risk that, if realised, will be following exit from the EU. The following datasets will be monitored closely to help understand the impact: <ul style="list-style-type: none"> <li>• HB caseload volumetric (monthly)</li> <li>• HB spend (monthly)</li> <li>• CTRS caseload volumetric (monthly)</li> <li>• CTRS projected annual spend (monthly)</li> <li>• Crisis Fund volumetric (monthly)</li> <li>• Crisis Fund application reason (monthly)</li> </ul> <b>Any increase in HB spend or CTRS caseload or spend will be statutory, but the crisis fund will be non-statutory.</b>	Low	High	Long-Term	Tolerate	Monitor revenues and benefits statistics following our departure from the EU - those accessing income support benefits and council tax support etc. Having recently done the preparation for Universal Credit we have systems in place to monitor these data sources.  Plan for increased need of Welfare Reform Taskforce and BOOST including budget provision and involvement of other agencies.  Modelling of increased rent arrears to show service how financial position may change.	
	If the labour market impacts noted above occur, then this could be an opportunity for our low skilled residents to access higher skilled jobs; or could accelerate the process of automation of jobs making it harder for low skilled residents to access well paid work.	Historically, London has had strong demand for highly skilled and productive labour, a significant proportion of which has been met through immigration from the EEA. It is unlikely in the short to medium-term that these skills needs can be met by low-skilled residents. Automation is already happening in a range of sectors and will impact jobs in Barnet regardless of Brexit.		Medium	Medium	Long-Term	Tolerate	LBB and partners are already engaged in activities aimed at supporting those furthest from employment.
	If there is increased economic growth then this could increase business rates and employment in the borough.	Current growth forecasts for 2019 and 2020 show that Barnet is projected to remain in line with the wider London economy and to outperform other WLA outer London boroughs. The Financial and Business Services sector, which is prevalent in Barnet, is generally expected to outperform other economic sectors.		Medium	High	Long-Term	Tolerate	No mitigation required.
Emergency planning	If any emergency situations arise immediately following Brexit, then this could affect the borough, residents or the workforce, and the council would need to respond accordingly.	Central government insight suggests emergency situations may arise around food shortages, fuel shortages and social unrest.	Medium	High	Short-Term	Treat	The councils organisational resilience plans including emergency response and business continuity plans have recently been reviewed and additional emergency responder volunteers have been recruited. Our Emergency Planning response is in line with London standards. Also linking in with local borough resilience forum and London wide resilience plans. The communications emergency plan has also been reviewed and training undertaken with staff.  Business continuity plans for each service area are being reviewed in terms of services continuing to operate if there are difficulties in getting to work. Protocols for ensuring staff communications can be cascaded have also been reviewed.  LBB emergency response teams end of Oct/Early Nov will be checked for availability and a secondary Gold and Silver will be on-call for specific Brexit issues and BECC Teams will be briefed and put on warning.	
Elections	If an election is called by Central Government, then the council will need to facilitate this on a local level.	Referendum is a less immediate risk as 20 weeks notice must be given. Whereas only 6 weeks notice must be given for a general election.	High	Medium	Short-Term	Treat	Electoral Services have preparatory planning and stakeholder discussions in place to ensure that we are as ready as possible for any short-notice elections that might be called and continue to maintain high levels of preparedness.	



## Policy and Resources Committee

### 3 October 2019

<b>Title</b>	<b>Business Planning 2020-25 and Budget Management 2019/20</b>
<b>Report of</b>	Chairman of the Policy and Resources Committee
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	Yes
<b>Key</b>	Yes
<b>Enclosures</b>	Appendix A – Medium Term Financial Strategy (MTFS) Appendix B – Capital additions, deletions, slippage & accelerated spend Appendix C – Capital Programme prior to additions
<b>Officer Contact Details</b>	Anisa Darr – Section 151 Officer <a href="mailto:Anisa.Darr@barnet.gov.uk">Anisa.Darr@barnet.gov.uk</a>  Paul Clarke – Deputy Section 151 Officer <a href="mailto:Paul.Clarke@barnet.gov.uk">Paul.Clarke@barnet.gov.uk</a>

### Summary

The council has refreshed its MTFS ahead of the budget setting process taking into account the Government's one-year spending round announcement. As part of this process the council has also reviewed its in-year and ongoing financial pressures to calculate the likely gap that will need to be addressed across the financial years 2020 to 2025. The report sets out the process which will take place for 2020/21 and future years in order to achieve a balanced budget.

This report also seeks Committee approval for a series of budget management decisions for 2019/20 required as part of normal business in line with the organisations Financial Regulations.

## Recommendations

### **That Committee:**

1. Approve the referral of the financial strategy of the organisation to Full Council, as set out in section 1.3;
2. Notes the current MTFS attached as Appendix A. The MTFS sets out all of the likely budget changes over the period 2020-25, 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. Delegate to Theme Committees the review of additional funding pressures to services requested in paragraph 1.3.9;
4. Approves the proposed additional allocation of savings targets to Theme Committees for 2020/21 as set out in paragraph 1.3.16 and ask Officers to work up proposals to meet these targets;
5. Notes the current forecast balances of reserves as set out in section 1.4.16;
6. Approve the changes to the existing Capital Programme in relation to slippage and deletions as set out in paragraph 1.5.12 and Appendix B for referral to Full Council;
7. Approve the amended capital programme (prior to additions) as set out in Appendix C;
8. Approve the changes to the existing Capital Programme in relation to additions as set out in paragraphs 1.5.6 to 1.5.11 in accordance with the virement rules.

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

### **1.1 Executive Summary**

- 1.1.1 The Government released a one-year spending round on the 4 September 2019. For Local Government, the main headlines announced were that central funding for Local Government will increase by £1.1 billion. With this increase in grant, Local Government Core Spending Power is estimated to increase by £2.9 billion in total in 2020/21. For Barnet, the council expects the benefit to be in the region of £15.8m over and above the assumptions previously made in the MTFs. Set against this are pressures of £22.1m arising principally from increasing care needs. The MTFs agreed by Council on 5<sup>th</sup> March 2019 included an assumption of a £2.965m drawdown from reserves in 2020/21.
- 1.1.2 The Government is consulting on reducing the council's ability to raise general Council Tax from a maximum of 2.99% to 1.99%. This reduced rate would reduce funding in the MTFs by around £1.8m per year of the MTFs from 2020 onwards.
- 1.1.3 Also announced within the spending round was a consultation on the reintroduction of a Social Care Precept - allowing local authorities to raise up to 2% (£3.6m) specifically to fund pressures within Adult Social Care. It is unclear if this proposal is for than one year and therefore has been assumed for 2020/21 only within the MTFs.
- 1.1.4 Since the budget was set in March 2019, a number of savings across the MTFs period have been identified as at risk of non-delivery. Officers are continuing to work on delivery of those, however, as part of prudent financial management it is necessary to make an allowance in case of non-delivery. Any savings which are not expected to be delivered following work by officers, will be presented to Theme Committees in November 2019 as part of the council's usual budget setting process. At present, £2.8m has been assumed in 2020/21 as a gap resulting from non-delivery of savings during 2019/20 and 2020/21. All savings for 2021/22 onwards deemed to have a high probability of non-delivery have also been assumed in the gap when preparing the MTFs.
- 1.1.5 As part of the review of the MTFs, services across the council have identified pressures that they expect to either carry forward from the current financial year, or those that they expect to occur in future years. Through a thorough review of budget pressures, officers have identified the requirement to invest £16m in 2020/21 as detailed in para 1.3.9. £5.255m had already been factored in the previous iteration of the MTFs resulting in an increased requirement of £10.375m. Officers are continuing to review these and any subsequent reduction, would reduce the gap for 2020/21 and future years.
- 1.1.6 The MTFs presented to this Committee has removed the expectation of funding from reserves and now projects forward an additional year to 2024/25. After a review of cost pressures, funding and the deliverability of savings, over the five years to 2024/25, additional savings of £40.307m are required for expected

expenditure to be sustainable within expected income (as shown in Appendix A).

- 1.1.7 At the start of the financial year 2019/20, the council budgeted for £9.5m of contingency funding towards inflation, cost pressures and other occurrences. Of this, £2.7m has been assigned to services with a further £5.3m being allocated. After all the allocated balances have been approved, a balance of £1.4m will remain which will be held at this stage to fund any uncertainty that may arise over the next six months of the year. Approval is sought for allocations from contingency totalling £4.3m within this report.
- 1.1.8 Capita deletions of £8.414m and net slippage of £153.447m are proposed. Throughout the summer, officers have been looking at the reasons that slippage occurs and challenging assumptions on the anticipated delivery profile of the Capital Programme. Over-estimating capital expenditure can cause a number of unintended consequences, such as incurring unnecessary financing costs, reducing service budgets to fund borrowing, or the lapsing of funding opportunities. As a result of this work it has been identified that a total of £153.447m needs to be slipped out of the 2019/20 financial year into future periods. Whilst this value is significant, it improves the accuracy of the programme and supports stronger financial management.
- 1.1.9 The proposed amended General Fund Capital Programme is funded by an assumption of £41m in Capital Receipts. Current receipts are standing at £21.19m with £19.36m being HRA receipts and the remaining £1.83m are General Fund receipts.
- 1.1.10 For 2019/20 the General Fund Capital Receipts requirement stands at £27.67m. There are currently no General Fund disposals agreed however it is estimated that capital receipts by the end of the year will be £10m. Assuming no further General Fund disposals during 2019/20 there would be a gap of £19.48m. This gap would be replaced by borrowing which would result in additional £336k interest costs in 2019/20 and £320k of MRP increase in 2020/21 and future years.

## **1.2 Strategic Context**

### **Spending Round September 2019**

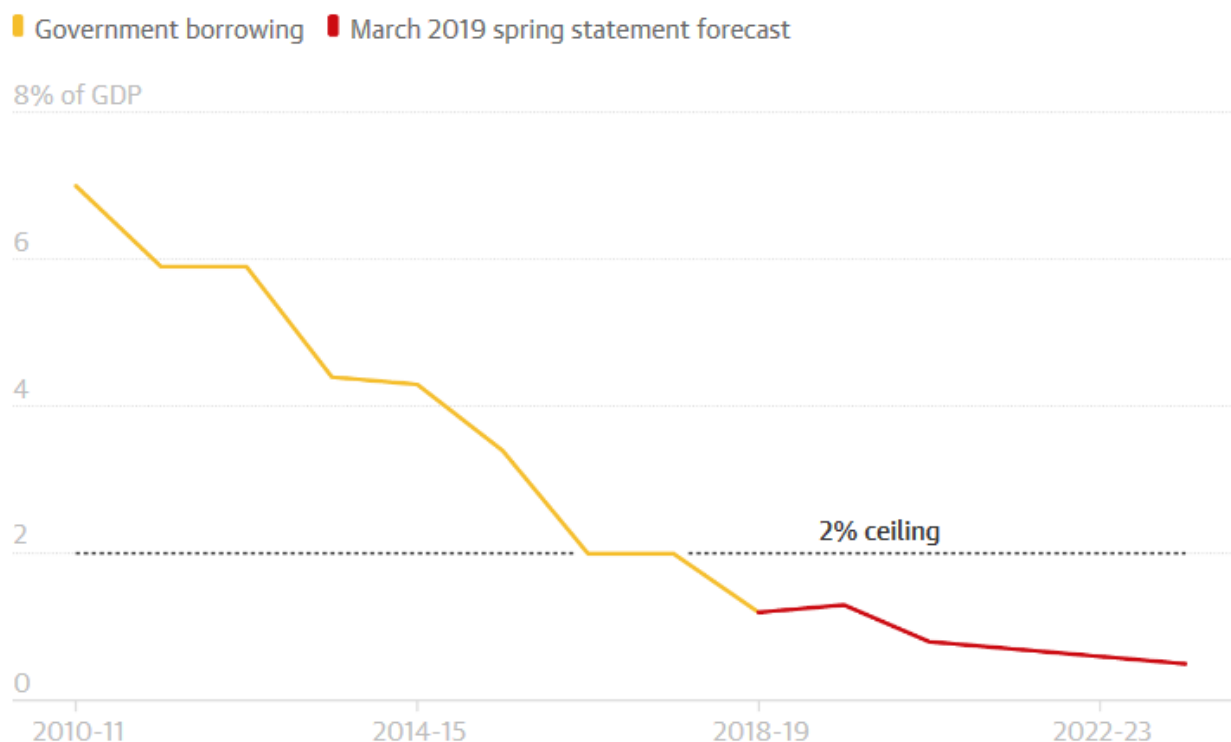
#### Overall public-sector funding

- 1.2.1 The Government released a one-year spending round on the 4 September 2019. This spending round included a total departmental spending increase of £13.8bn in real terms next year.
- 1.2.2 The Government based the announcement on £15bn of available headroom in borrowing to remain within their own fiscal rules governing how much Britain should borrow. Under the rules, national debt must fall as a percentage of Gross Domestic Product (GDP), while borrowing as a percentage of national output must remain below 2% of GDP.



1.2.3 Government departmental spending will increase by 4.1% in real terms (this compares to the current inflation rate of 1.8%), whilst keeping within the government's fiscal rules. Most, but not all, of the available "headroom" has now been committed.

1.2.4 The Chancellor's statement was based on the Office for Budget Responsibility (OBR) forecasts from the March 2019 spring statement. Should the assumptions of the health of the economy change then future spending rounds will need to factor that in. The graph below shows Government borrowing as a % of GDP and how this has reduced since 2010.



1.2.5 The key announcements within the Spending Round were as follows.

- Health and social care – the government reaffirmed the existing five-year settlement for the NHS, with an additional £33.9bn more per year by 2023/24, compared to 2018/19 budgets, with a real terms 3.1% increase in Resource Departmental Expenditure Limits (DEL) in 2020/21. Nationally there will be a 3.4% increase in Public Health funding and an additional £1bn for adult and children's social care and the government will be consulting on a 2% adult social care precept to enable councils to access a further £0.5bn.
- Education and skills - the schools' budget will rise by £2.6bn in 2020/21, which will include per pupil funding of £3,750 at primary and £5,000 at secondary schools. The additional funding is inclusive of £700m more funding in 2020/21, to support children and young people with special educational needs. £400m of additional funding for Further Education has also been announced.
- Tackling crime – an extra £750m for policing to pay towards the government's commitment to recruit an additional 20,000 officers by 2023, which forms part of a 6.3% real terms increase in Home Office funding;

- Brexit - the Spending Round confirms £2bn of core funding provided to departments for Brexit in 2019/20 will be continued into 2020/21. This money will be used to help pay for the costs of establishing a new relationship with the EU.
- No real terms decrease for any government department, and a real terms increase for most.

### Local Government

1.2.6 For Local Government, the main headlines announced were that central funding for Local Government will increase by £1.1 billion. With this increase in grant, Local Government Core Spending Power is estimated to increase by £2.9 billion in total in 2020-21. Within this:

- the settlement included an additional £1 billion grant for adult and children's social care;
- consultation on a 2% Adult Social Care precept that will enable councils to access a further £0.5 billion, bringing the total increase in funding for social care to £1.5 billion; and
- Local Government's business rate baseline funding levels to increase in line with inflation.

1.2.7 In addition, the Spending Round confirmed that local authorities will receive additional resources through a real terms increase in the Public Health Grant. The NHS contribution to adult social care through the Better Care Fund will also increase by 3.4% in real terms, in line with the overall NHS long-term settlement.

1.2.8 Outside of the main Local Government settlement, high-needs funding for schools is increasing by more than £700 million in 2020-21, an increase of more than 11% on 2019-20 funding levels.

### Impact on Barnet

1.2.9 For Barnet, the impact of the Spending Round 2019 announcement includes:

- The continuation of £3.9m Social Care (Adults and Children's) funding;
- An additional c£6.0m of Social Care Funding;
- Consultation on an ability to levy a 2% Social Care Precept, which would result in income of £3.6m;
- Consultation on the reduction in general CT referendum limit from 2.99% to 1.99% – this would result in a reduction of £1.8m against previous assumptions;
- Revenue Support Grant is not expected to reduce; which would result in an additional £2.3m;
- Initial Business Rates baseline estimate has reduced (detriment £0.7m) – together with confirmation that the London Business Rates pool will not

continue in to 2020/21. The benefit of the pool had not been factored in to the MTFs on an on-going basis and therefore doesn't lead to a detriment, however it means there is reduced scope for a windfall from growth and the Strategic Infrastructure Pool. If the London Business Rates Pool had continued, Barnet would have benefited from a share of growth across London. Estimates based on the 19/20 pool indicate a potential benefit of £3.4m had the pool continued.

1.2.10 All of the impacts described within this section are included within the MTFs presented at Appendix A.

### **Brexit**

1.2.11 The Committee is separately considering a paper on the implications of the UK's planned departure from the European Union.

1.2.12 To support Local Authorities with Brexit preparations, the Government announced funding allocations in January 2019 and August 2019. All London boroughs have received approximately £315k over the 18/19 and 19/20 financial years, with port authorities receiving additional funding.

1.2.13 The council deliberately maintains a level of reserves to insulate against volatility and to meet the cost of unanticipated costs. Should there be a need to incur incidental expenditure resulting from the UK's departure from the EU, the council is able to fund this from its available revenue reserves.

### **Service specific issues**

#### Adult Social Care

1.2.14 Adult social care budgets have faced significant and growing pressures across the country, and in particular in London, due to a fast-growing population. The Government has recognised the need for extra investment over previous years through the provision of the iBCF, Winter Pressures Funding and the Adult Social Care Precept. Many of these solutions are temporary and have not allowed Local Authorities to plan long term, nor have they fully met the increasing costs of the service, requiring councils to reduce investment in other services.

1.2.15 In order to plan, the sector requires a long-term solution to the ongoing adult social care challenge that addresses demographic growth, the increasingly complex needs of service users, and the rising cost burden on local authorities.

1.2.16 London Councils' recent State of Adult Social Care in London report showed that London boroughs achieved £480 million in adult social care savings between 2015/16 and 2017/18. Their analysis also suggested a funding gap of £540 million by 2025 due to the national shortfall in adult social care finances.

1.2.17 Demand for adult social care is increasing rapidly in London, with the capital's population growing particularly among groups likely to require social care. The number of Londoners aged 65 and older is expected to increase by 71% by 2039 – a faster rate than any other region in England. The capital also has a higher proportion of people of working age needing social care, with the number of working-age Londoners with impaired mobility set to increase 14% by 2035.

#### Children's Social Care and Education

1.2.18 Children's services across the country are facing an unsustainable level of financial risk. In 2017/18 all but one council in London were in deficit on their high-needs expenditure and all but six were in deficit on their children's social care expenditure. Given the significant budgetary pressures facing Children's Services, there is concern that future performance in this vitally important service area will be put at risk. This isn't a London-specific issue, however across all 33 London local authorities the total in-year shortfall in funding across both Special Educational Needs and Disabilities (SEND) and children's social care came to £185 million in 2017/18. This shortfall is driven both by funding squeezes and increased demand.

1.2.19 In SEND there has been a sustained rise in demand for support, brought about by the very rapid increase in children and young people with Education Health and Care Plans (31% over four years). In children's social care, the overspend stands at 9% in 2017/18, or £108 million. Increased complexity of need, workforce dynamics and competition within the market for places are leading to rapidly rising individual costs of care.

#### North London Waste Authority (NLWA)

1.2.20 The existing energy from waste facility at Edmonton EcoPark has been operating for over 40 years and the current payments for disposing of our waste are low compared to other areas of London. The Secretary of State for Business, Energy and Industrial Strategy granted a Development Consent Order for NLWA to build a replacement energy recovery facility and associated development at the Edmonton EcoPark in February 2017. This is known as the North London Heat and Power Project (NLHPP).

1.2.21 The NLWA levy costs are projected to increase significantly in future years as the existing facility comes to the end of its life when the NLHPP is built. NLWA has agreed that the energy recovery facility will be funded through direct public borrowing and will be operated by its contractor, LondonEnergy Limited. The increases in levy subject to the authority finalising its funding strategy and therefore in order to avoid the shock of sudden large increases in future years, the council set a financial strategy of setting aside a £1m increase per year for the next 6 years.

#### Growth and Corporate Services

- 1.2.22 The Government is committed to the improved delivery of new homes nationally through their economic and housing growth agendas. Accordingly, they have introduced a number of measures and reforms to the planning system intended to deliver more housing, improve housing affordability and remove barriers to development.
- 1.2.23 The Government's Housing Delivery Test (HDT) provides a measure of housing delivery based on the preceding three financial years. There is now a requirement for housing action plans to be produced by local planning authorities where the delivery of new housing is below 95% of the housing requirement. According to the Government Barnet's housing delivery is below 95%. The council has therefore been required to produce this Housing Delivery Action Plan (HDAP). The HDAP provides an analysis of housing delivery, including barriers to delivery, and identifies actions to reduce the risk of further under-delivery. The HDAP also highlights measures that Barnet is already taking to improve levels of housing delivery.
- 1.2.24 Responsibility for producing, monitoring and updating the HDAP rests with the council. However, implementing the HDAP is reliant on a collaborative process between a range of stakeholders including developers, land promoters, private and public landowners, infrastructure providers (such as utility providers, highways) and neighbouring authorities with adjoining or cross-boundary sites. These all have an impact on housing delivery.
- 1.2.25 The HDAP will provide supporting evidence for the current Local Plan review; the Council intends to consult on a full draft Local Plan in early 2020. Having an up to date plan in place will ensure that Barnet has the right land available in the right places to deliver the homes and jobs we need up to 2036. The Plan will also identify the new infrastructure, such as transport, schools, health centres and utility networks, required to support delivery of new homes.
- 1.2.26 The London Plan provides the overall housing target for Barnet. This stands as 2,349 new homes per annum as set out in the 2015 London Plan.
- 1.2.27 Nearing the end of a full review, a draft replacement London Plan has recently undergone an examination in public. The council expects confirmation of the revised housing target for Barnet once the new London Plan has been adopted which is anticipated to be in Spring 2020. The draft London Plan sets out an annual target of 3,134 for the ten-year period 2019/20 – 2028/29, an increase of 33% from the current target. The MHCLG housing target for Barnet, using the Government's standard methodology, is 4,126 new homes per annum.
- 1.2.28 Both the draft London Plan and the MHCLG target are significantly higher than the current target contained in the 2015 London Plan.

### **1.3 Review of the Medium Term Financial Strategy**

#### **Financial Strategy**

1.3.1 In March 2019, the budget report to Council approved an overarching financial strategy. These have been reviewed and strengthened in recognition of the fact that the financial challenges (in respect of reducing funding and increasing demand) facing local government are likely to continue and therefore a focus on resilience and sustainability is important. The council's proposed financial strategy is set out below.

- The council will set a legal budget, balancing recurrent expenditure with estimated income within the medium term in order that the council has a sustainable financial position;
- The council will plan over a medium term of at least 3 years in order that the council is fully informed as to future scenarios and can prepare appropriate action;
- A level of sustainable reserves will be maintained, this will be defined by the Section 151 officer during the budget setting process, considering prevailing risks and opportunities. For 2020, this has been identified as £15m for general fund balance and £30m for earmarked non-ringfenced revenue reserves;
- The council will seek to build resilience to economic shocks and insulate from the requirement for sudden cuts to vital services;
- The council is happy to use reserves to invest in one-off investment or transformation requirements but not to the point of the organisation being in distress;
- The council will ensure we have sufficient funding for on-going transformation and long-term changes;
- The council will provide a realistic amount of funding to support increasing demand, quickly addressing ongoing financial pressures with a permanent solution, reducing the instances where one off solutions are used;
- The council will achieve the best possible outcomes within the funding available;
- The council will ensure that budgets are aligned to our Corporate Plan objectives and that we will actively disinvest where this is not the case;
- The council will understand the implications of growth and ensure that both the reward and the increased costs to services are recognised, and;
- The council will act lawfully and protect the integrity of regulations, ring fences and accounting rules.

### **MTFS Summary**

1.3.2 The MTFS presented to Council in March 2019 displayed a budget gap of £5.931m for 2020/21, towards which £2.965m of reserves were proposed to be used. This gap moved to a balanced position in later years of the MTFS as savings were delivered.

1.3.3 The MTFS presented to this Committee has removed the expectation of funding from reserves and now projects forward an additional year to 2024/25. After a review of cost pressures, funding and the deliverability of savings, over the five years to 2024/25, additional savings of £40.307m are required in order to live

within the expected income levels. This represents a total savings requirement of £71.507m, with savings of £31.2m already identified.

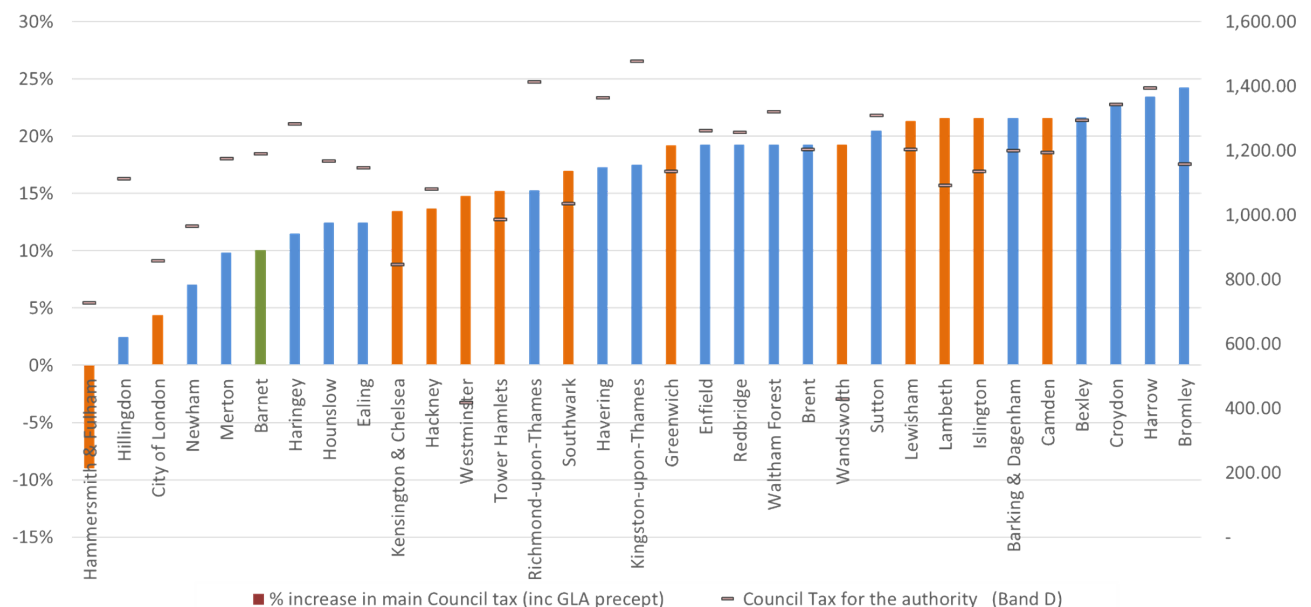
## Council Tax

1.3.4 The council needs to ensure that it has adequate resources to meet its statutory and mandatory obligations and its priorities. Its approach is to deliver a budget that is affordable and with a prudent and realistic level of Council Tax over the period of the MTFS. The MTFS approved by Council in March 2019 included the assumption of a 2.99% increase in each year in order to support front line services.

1.3.5 As explained in paragraph 1.1.2, the Government is consulting on reducing councils' ability to raise general Council Tax from a maximum of 2.99% to 1.99%. This reduced rate would reduce funding in the MTFS by around £1.8m per year of the MTFS.

1.3.6 Also announced within the spending round was a consultation on the reintroduction of a Social Care Precept - allowing local authorities to raise up to 2% (£3.6m) specifically to fund pressures within Adult Social Care. This has been assumed for 2020/21 only within the MTFS.

1.3.7 The graph below shows that over the last 10 years Barnet has the 6<sup>th</sup> lowest cumulative Council Tax increase together with an absolute Council Tax rate which is below that of most other outer London Boroughs.



1.3.8 The MTFS, therefore, proposes the use of the maximum council tax increase and social care precept.

## Service Pressures & Growth requests

1.3.9 As part of the review of the MTFS, services across the council have identified pressures that they expect to either carry forward from the current financial year, or those that they expect to occur in future years. Through a thorough review of budget pressures, officers have identified the requirement to invest £16m in 2020/21 as detailed below. £5.255m was allowed for in the previous MTFS resulting in increased requirement for pressures of £10.375m:

Service line	2020/21	2021/22	2022/23	2023/24	2024/25
Housing Committee	500	755	500	-	-
Policy & Resources Committee	905	-	-	-	-
Environment Committee	3,300	1,150	458	100	100
Adults & Safeguarding Committee	5,236	5,323	5,412	5,504	5,598
Children, Education Safeguarding Committee	4,040	2,200	2,200	2,200	2,200
Assets, Regeneration & Growth Committee	1,649	-	-	-	-
<b>Total Pressures Funding Required</b>	<b>15,630</b>	<b>9,428</b>	<b>8,570</b>	<b>7,804</b>	<b>7,898</b>
Previously allowed for in the MTFS	5,255	5,500	5,000	5,000	5,000
<b>Net increase in pressures above MTFS level</b>	<b>10,375</b>	<b>3,928</b>	<b>3,570</b>	<b>2,804</b>	<b>2,898</b>

### Savings Delivery

1.3.10 Since the budget was set in March 2019, a number of savings across the MTFS period have been identified as at risk of non-delivery. Those affecting the 2019/20 financial year will be reported to the Financial Performance and Contracts Committee however they will also leave a budget gap in 2020/21.

1.3.11 Officers are continuing to work on delivery of those affecting 2020/21 onwards, however, as part of prudent financial management it is necessary to make an allowance in case of non-delivery. Any savings which are not expected to be delivered following work by officers, will be presented to Theme Committees in November 2019 as part of the council's usual budget setting process. Equally, if after further due diligence, the saving is deemed to be deliverable it will be re-presented as such.

1.3.12 So far, the approved savings which have been identified as at risk of non-delivery are shown below. Mitigations and alternative proposals are being identified and the current view of the risk to the 2020/21 budget is £2.8m. The status of these savings together with approval of alternative options will be considered at Theme Committee meetings during November 2019.



*Savings currently assumed to be undeliverable*

1.3.13 The table below shows savings which are currently at risk of being undeliverable. Officers are continuing to look at ways to assure delivery however they have been assumed as undeliverable within the MTFS.

Line Ref	Theme Committee	Original savings text to Full Council in March 2019	2019/20 £'000	2020/21 £'000	2021/22	2022/23	2023/24	Total savings (All years)
ARG8	Assets, Regeneration & Growth	Commercial property acquisitions for improved place shaping and to meet other strategic in-borough objectives, resulting in incidental income. (estimate based on £50m capital investment)		(850)	(1,050)			(1,900)
R4	Environment Committee	Additional savings from 2018/19: Alternative savings provision for £200k of original £900k target for changes to refuse collection (R2) and those set out in the November Environment Committee papers relating to parks and open spaces and fees and charges. Full-year effect from service changes which have been agreed by members.	(200)	0	0	0	0	(200)
H1	Housing Committee	500 additional acquisitions of properties for use as affordable temporary accommodation by Open Door Homes supported by Loan from Council, as a cheaper alternative to existing temporary arrangements which utilise the private rented sector. Savings also achieved by premium of 1.24% interest on loans made by the council to Open Door Homes.	(161)	(568)	(821)	(834)	(681)	(3,065)
H2	Housing Committee	Transfer of 141 properties acquired by Council for use as affordable temporary accommodation to Open Door Homes. Savings achieved by transfer of debt management and premium of 1.24% interest on loans made by the council to Open Door Homes.	(1,025)	49	50	51	53	(822)
P&R10	Policy & Resources Committee	GIS value for money review (economy, efficiency and effectiveness)	0	(60)				(60)

*Savings likely to be delayed from the original profiling*

1.3.1 The table below shows savings which are currently at risk of being delayed. Officers are continuing to work on delivery and a revised profile will be presented to Theme Committees in November where appropriate.

Line Ref	Theme Committee	Original savings text to Full Council in March 2019	2019/20 £'000	2020/21 £'000	2021/22	2022/23	2023/24	Total savings (All years)
R5	Environment Committee	Savings recovery plan: Alternative savings provision for £700k of original £900k target for changes to refuse collection (R2). Proposed option to move to a chargeable garden waste service.	(550)	(150)	0	0	0	(700)
P1	Environment Committee	Delivery of Parks and Open Spaces Strategy: To reduce the annual revenue cost of the operation and management of green spaces by maximising the efficiency of the service and developing new and income generating uses for parks and green spaces sites.	0	0	(250)	(1,500)	(2,000)	(3,750)
P&R8	Policy & Resources Committee	Economies of scale from review and redesign of professional support services, including economies of scale and efficiencies from joining up functions, reducing duplication. Assumes take effect May 2019	(297)	(260)				(557)

## 2020/21 Funding Gap

1.3.2 The combination of the additional pressures, savings delivery and the September 2019 Spending Round announcement leaves a revised net gap of £5.4m in 2020/21. The movements are summarised below:

	£m
Existing MTFs gap	6.0
Plus Pension Deficit Recovery costs	0.5
Plus increased pressures	10.4
Plus non deliverable savings	2.8
Change in Business Rates forecast	0.6
Plus reduced CT increase	1.8
<b>Total adverse movements</b>	<b>22.2</b>
<i>Less:</i>	
Continuation of Social Care Funding	3.9
New Social Care Funding	6.0
Release of contingency funding	1.0
Continuation of RSG at current level	2.3
Social Care Precept	3.6
<b>Total favourable movements</b>	<b>16.8</b>
<b>Remaining gap (Savings Target)</b>	<b>5.4</b>

1.3.3 As shown above, additional pressures of £10.4m are contributing to the gap identified for 2020/21. Within the recommendations, Theme Committees have been asked to review these pressures, as any reduction in these will help to deliver the remaining savings/gap for 2020/21.

1.3.4 It is recommended to apportion the remaining gap of £5.4m across the council's controllable net budgets (excluding ringfenced areas such as Public Health and the DSG).

1.3.5 Committee are asked to approve the allocations for each Theme Committee along with savings in the existing MTFs for 2020/21 and across 2020/24 as shown below:

Committee	Net Budget	Proportion on Net Budget	Savings Allocation	20/21 Savings currently in MTFs	Total deliverable 20/21	Current schedule of savings 2020-2024

Adults & Safeguarding Committee	123,571	38.8%	(2,104)	(3,826)	(5,930)	(8,986)
Assets, Regeneration & Growth	4,848	1.5%	(83)	(1,423)	(1,506)	(5,230)
Children, Education Safeguarding	70,848	23.3%	(1,265)	(1,959)	(3,224)	(5,881)
Community Leadership Libraries	5,733	0.0%	-	-	-	-
Environment Committee	49,539	16.2%	(876)	(3,650)	(4,526)	(10,500)
Housing Committee	29,444	9.2%	(501)	(1,169)	(1,670)	(5,406)
Policy & Resources	34,651	11.0%	(595)	(1,103)	(1,698)	(3,284)
<b>TOTAL</b>	<b>318,633</b>	<b>100%</b>	<b>(5,424)</b>	<b>(13,130)</b>	<b>(18,554)</b>	<b>(39,287)</b>

1.3.6 Officers are working on ways of identifying savings to meet these targets. These proposals will be presented to relevant Theme Committees for approval in late November/early December.

#### Savings for 2021/22 onwards

1.3.7 For savings for 2021/22 onwards, the council is taking an innovative and transformational approach to addressing the annual gaps in the MTFS.

1.3.8 Colleagues from across the council are reviewing options to deliver savings through working collaboratively across services to deliver the council's Corporate Priorities. As the first phase of this work, officers have identified a number of cross-cutting issues upon which to base 'hot house' type collaborations for the delivery of cross cutting/transformational work.

1.3.9 Workshops are underway, exploring the key challenges facing the council. The output of these workshops will be to produce a specification for the "hot houses" for colleagues to work to in order to develop and design cross cutting and multi-faceted approaches to address the key challenges identified.

1.3.10 The expectation is that the delivery of the output of these new approaches will deliver at least 50% of the gap for 2021 onwards. Any shortfall will be addressed across departments as part of their normal business planning activity.

## **1.4 Budget Management 2019/20**

### **2019/20 Forecast Outturn**

1.4.1 At quarter 1, the General Fund revenue forecast for 2019/20 was £306.219m, which is a net overspend of £6.583m, compared with the revised budget of £299.636m. This forecast is stated after the net contribution to specific and general earmarked reserves totalling £1.697m.

1.4.2 A small number of changes are anticipated to the quarter one position which is expected to reduce the overall overspend to £5.8m. This figure is assumed to be

the amount that reserves will reduce by in respect of the in year overspend within the rest of this report.

- 1.4.3 As part of good financial management practice, there are a number of business as usual processes that the council undertakes to maintain its budgets. This paper seeks Policy and Resources Committee approval to make in year allocations from the contingency budget and to agree virements between services of over £250k.

### **Allocations from Contingency**

- 1.4.4 The contingency budget is a useful tool in effective financial management of an organisation. It provides a mechanism to allocate additional funding on a temporary or permanent basis during the financial year. This allows the recognition and funding of costs over and above those included within the Council's base budget. It is a more appropriate mechanism than the use of one-off funding, such as reserves, in meeting the costs of pressures as it enables the Council to 'live within its means' both in the short and longer term. Council financial regulations also should prevent expenditure being incurred for which there is no budget provision. Allocations from contingency ensure that the financial regulations can be adhered to when unexpected items occur. This therefore supports the delivery of the organisation's overall financial strategy.
- 1.4.5 When preparing the budgets, all inflationary and service pressure allocations within the MTFs are held within the contingency budget and are allocated during the year to the service areas when the true costs are better understood. The contingency budget is usually forecast to be fully spent within the financial projections despite containing unallocated elements. This means that any virements to areas displaying a financial pressure will generally benefit the bottom line of the Council's projected outturn variance. The allocation to theme committees are targets and savings proposals will be subject to equality impact assessments and consultation as required. The contingency could be used where members do not wish to make proposed savings due to equality impacts that cannot be litigated appropriately.
- 1.4.6 At the start of the 2019/20 financial year, £9.5m contingency funding was available. Of this, £2.7m has been distributed with a further £5.4m allocated as shown below. After all the allocated balances have been posted, a balance of £1.4m will remain as shown below:

<b>Contingency budget 19/20</b>	<b>Total</b>
Contingency Available	9,505,635
<b>Posted in 2019-20</b>	
Pay inflation budget increases to services	(1,457,882)
Resolution of structural income in Regulatory Services - per Budget Book	(806,000)
EU exit project - Lead Officer(s) Funding	(81,000)

Adults transformation: Shared Lives project resource	(45,000)
Adults transformation: Project resource for progression reviews	(90,000)
Adults transformation: Social Work resource for contract expansions	(225,000)
<b>Total Posted</b>	<b>(2,704,882)</b>
<b>Total remaining</b>	<b>6,800,753</b>
<b>Commitments (not posted on Integra)</b>	
Carbon Commitments	(300,000)
Streetscene Pay inflation	(350,000)
Pausing the professional services review saving until 2020/21	(297,000)
Inflation non- pay to be allocated to services	(3,686,000)
Pension Deficit contribution	(641,000)
Resource to support equalities work	(25,000)
Increase to organisation strategy resources	(75,000)
EU exit project - Lead Officer(s) Funding	(23,980)
<b>Total to be allocated</b>	<b>(5,377,980)</b>
<b>Total remaining</b>	<b>1,402,773</b>

1.4.7 It is the Section 151 Officer's intention to allocate the remaining 2019/20 balance towards service pressures once the full implications of issues such as Oakleigh Road Depot access road and the Finchley Lido roof are better understood (subject to future Policy and Resources Committee approval). An expectation is included within the MTFs that £1m will be available from 2020/21 onwards to recurrently reduce the budget gap.

### Virements

1.4.8 The constitution requires that any virement from contingency of £250k or above are approved by the Policy & Resources Committee. Further, any virements between services over £250k must also be approved by the Policy & Resources Committee.

1.4.9 The tables below give details of virements by Department rather than committee as the Scheme of Financial Delegation delegates the authority to expend the Council's resources to Executive Directors of Departments.

1.4.10 The following virements from contingency above £250k presently require approval:

Service	Description	TOTAL
StreetScene	Pay Inflation	£350,000
Adults	Non-pay inflation	£1,746,070
Assurance	Non-pay inflation	£12,188
Environment	Non-pay inflation	£491,035
Education & Skills	Non-pay inflation	£235,356
Family Services	Non-pay inflation	£521,416

Growth and Corporate Services	Non-pay inflation	£680,270
Growth and Corporate Services	Pausing saving until 2020/21	£297,000
Central Expenses	Contingency Allocation	(4,333,335)

1.4.11 P&R are asked to note the following virements from contingency less than £250k:

Service	Description	TOTAL
Growth and Corporate Services	Resource to support equalities work	£25,000
Growth and Corporate Services	Increase to organisation strategy resources	£75,000
Growth and Corporate Services	EU Exit Project (Lead Officer's Funding)	£23,980
Central Expenses	Contingency Allocation	(£123,980)

1.4.12 P&R are also asked to approve the following virements between services above £250k:

From	Description	TOTAL
Growth and Corporate Services	Transfer of the Flexible Homelessness Support Grant to fund Homelessness Prevention as it indirectly replaced the Temporary Accommodation Admin Fee.	£900,000
Finance	Transfer of the Flexible Homelessness Support Grant to fund Homelessness Prevention as it indirectly replaced the Temporary Accommodation Admin Fee.	-£900,000
Central Expenses	To split the NLWA budget into base levy and non-household waste to support financial management	£11,862,964
Environment	To split the NLWA budget into base levy and non-household waste to support financial management	-£11,862,964

## Reserve Strategy

1.4.13 The council's total reserves are forecast to be £44.605m at the end of 2019/20. This would be £19.021m lower than the beginning of the year. £8m of this reduction was budgeted for within the MTFs to achieve a balanced position for 2019/20.

1.4.14 There are several one-off items which are expected to reduce reserves in the current financial year. These include transformation expenditure (£0.778m), use of the Special Parking Account (£1.104m) and a drawdown to support the

reprofiling of Re contract payments (£1m). For this item, the council previously received the benefit of a management fee payment reduction of £1m and now receives a one-off reduction in the level of guaranteed income. The current forecast drawdowns against council reserves are as follows:

<b>Reserve drawdown</b>	<b>£</b>
Impact of forecast budget variances on the MTFS reserve	(5,764,807)
Transformation reserve expenditure	(778,000)
Drawdown to support Re contract reprofiling between years	(1,000,000)
Strategic Contract Realignment - ongoing review	(265,000)
Strategic Contract Realignment - Strategic HR & Finance	(250,000)
Revenue Implications of capital	(600,000)
Community Budgets and Troubled Families	(364,000)
Public Health expenditure	(261,000)
Payment of recovery of the proceeds of crime act	(746,778)
Drawdown from Parking Reserve towards eligible expenditure	(1,104,000)
<b>Total</b>	<b>(11,133,585)</b>

1.4.15 All the items in the table above are one-off calls on reserve except for the £5.8m drawdown relating to impact of forecast budget variances. However, this has been addressed in the pressures and MTFS gap detailed in section 1.3.13 meaning the recurrent pressure it reflects, cannot recur in future years.

1.4.16 The review of the MTFS detailed in section 1.3 outlines actions officers are taking to ensure that the council balances incoming and outgoing resources and maintains an adequate level of reserves. The table below displays what would happen if no action was taken to balance the council's MTFS. If the MTFS was not brought in to balance, the council's total reserves would effectively run out in 2024/25. Crucially the £30m 'red line' for Non Ringfenced Revenue Reserves would be breached during 2020/21. This represents the gap which officers are working to close and options will be presented to Theme Committees in November to address the funding deficit.

	2018/19 closing bal	2019/20 forecast bal	2020/21 forecast bal	2021/22 forecast bal	2022/23 forecast bal	2023/24 forecast bal	2024/25 forecast bal
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<u>Capital</u>							
Capital - CIL	2,937	2,937	2,937	2,937	2,937	2,937	2,937
Revenue implications of capital	1,441	841	401	-	-	-	-
<b>Total Capital Reserves</b>	<b>4,378</b>	<b>3,778</b>	<b>3,338</b>	<b>2,937</b>	<b>2,937</b>	<b>2,937</b>	<b>2,937</b>
<u>Revenue</u>							
New Homes Bonus	-	-	-	-	-	-	-
MTFS	34,036	22,530	17,106	3,621	(1,367)	(7,646)	(17,777)
Collection Fund Smoothing Reserve	6,380	3,064	3,064	3,064	3,064	3,064	3,064

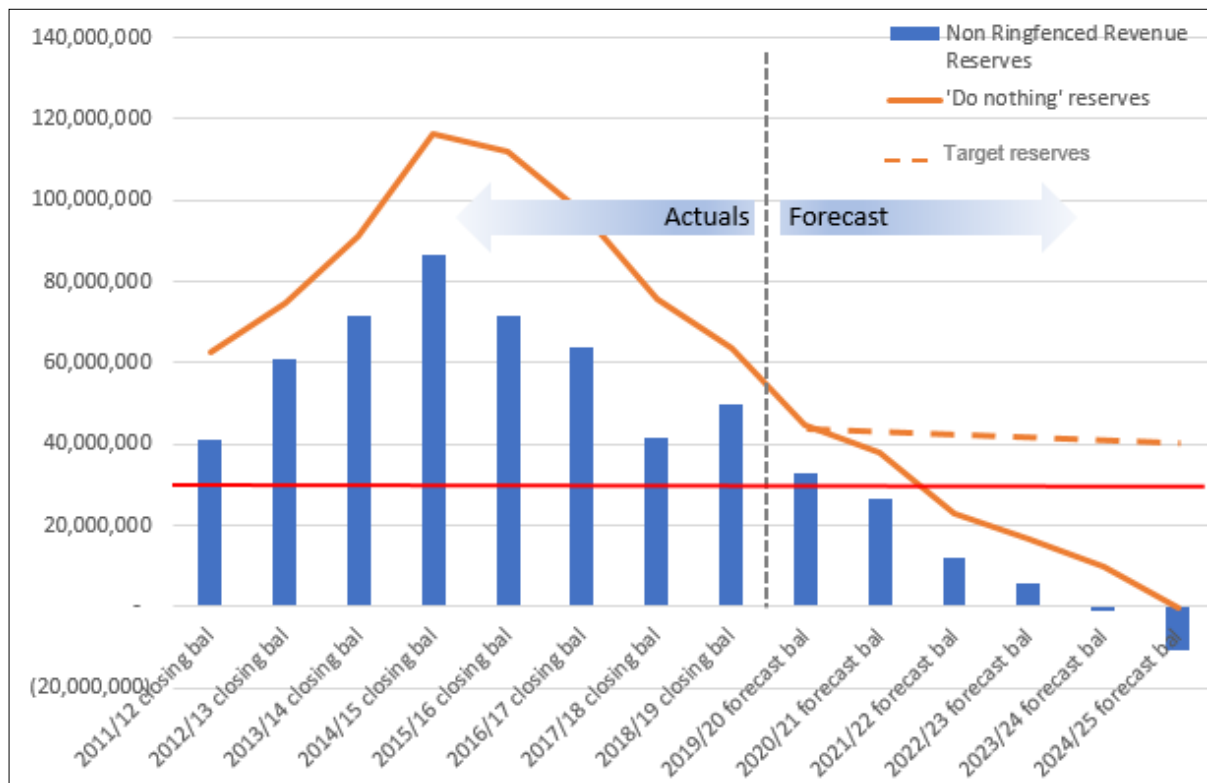


Revenue - Earmarked	1,629	1,629	1,279	929	579	579	579
Transformation	3,083	2,305	1,619	972	486	-	-
Revenue - Service Specific	4,822	3,366	3,516	3,666	3,216	3,216	3,216
<b>Non Ringfenced Revenue Reserves</b>	<b>49,950</b>	<b>32,894</b>	<b>26,584</b>	<b>12,252</b>	<b>5,978</b>	<b>(787)</b>	<b>(10,918)</b>
<u>Ringfenced</u>							
DSG	1,543	1,543	1,543	1,543	1,543	1,543	1,543
Housing Benefits	3,981	3,981	3,981	3,981	3,981	3,981	3,981
North London Sub Region	79	79	79	79	79	79	79
PFI	-	-	-	-	-	-	-
Public Health	1,462	1,201	1,201	1,201	1,201	1,201	1,201
Special Parking Account	2,233	1,129	1,129	1,129	1,129	1,129	1,129
<b>Total Ringfenced</b>	<b>9,298</b>	<b>7,933</b>	<b>7,933</b>	<b>7,933</b>	<b>7,933</b>	<b>7,933</b>	<b>7,933</b>
<b>Total Earmarked Reserves</b>	<b>63,626</b>	<b>44,605</b>	<b>37,855</b>	<b>23,122</b>	<b>16,848</b>	<b>10,083</b>	<b>(48)</b>

1.4.17 Although several of the reserves appear to maintain a steady balance (e.g. Capital – CIL, Collection Fund Smoothing & Housing Benefits Reserves) there will be movements in and out throughout the year. The assumption is that income will offset expenditure in each year. With the CIL reserve, for instance, seeing forecast receipts and expenditure in the region of £10m each year.

1.4.18 The council's reserves have been decreasing consistently since 2014/15. This reduction is broadly in line with what the sector as a whole has experienced.

1.4.19 The table above is represented in the following graph showing the council's reserves balance over time. The forward forecast shows the 'do nothing' position (which sets out the challenge which is being addressed through the budget setting process) and the council's target reserves position (dotted line). Once savings proposals have been identified and approved by Theme Committees the reserves forecast will be amended accordingly. The targeted reserves balance remains above £40m for 2024/25.



## 1.5 Capital Programme

1.5.1 The council has a significant capital programme across both the General Fund and the Housing Revenue Account (HRA). Capital projects are considered within the council's overall medium to long term priorities, and the preparation of the capital programme is an integral part of the financial planning process. This includes taking account of the revenue implications of the projects in the revenue budget setting process.

### Changes to the Capital Programme

#### Slippage

1.5.2 Throughout the summer, officers have been looking at the reasons that slippage occurs and challenging assumptions on the anticipated delivery profile of the Capital Programme. Over estimating capital expenditure can cause a number of unintended consequences, such as incurring unnecessary financing costs, reducing service budgets to fund borrowing, or the lapsing of funding opportunities.

1.5.3 As a result of this work it has been identified that a total of £153.447m needs to be slipped out of the 2019/20 financial year into future periods. Whilst this value is significant, it improves the accuracy of the programme and supports stronger financial management.

1.5.4 The breakdown of slippage by Committee is shown below:

Theme Committee	Net Slippage & Accelerated spend
Adults and Safeguarding	(795)
Assets, Regeneration & Growth	(53,519)
Children, Education & Safeguarding	(24,427)
Community Leadership and Libraries	-
Environment	(6,401)
Housing	(5,107)
Policy & Resources	-
Housing (HRA)	(63,198)
<b>Total:</b>	<b>(153,447)</b>

## Additions

### 1.5.5 Upper and Lower Fosters

In July 2019, £1.6m of additional budget was approved by Council to progress the Upper and Lower Fosters scheme to RIBA stage 4a. This will be funded from a combination of HRA borrowing and S106 receipts. As this decision was approved by Full Council, Policy and Resources Committee approval is not required.

### 1.5.6 Disabled Facilities Grant

£0.643m of additional Disabled Facility Grant has been received by the council which will need to be added to the Disabled Facilities capital programme in order to spend the allocation. This is a central government ring fenced grant allocation and will increase the Disabled Facilities programme total budget to £2.99m.

### 1.5.7 HRA Capital Programme

In January 2019, the Housing Committee agreed the budgets for 2022/23 to 2024/25 for the HRA capital programme. An additional £52.38m is required for the HRA capital programme and these additional budgets will be funded from HRA Major Repair Reserve. The extra budget will be added to the following programmes:

- Major Works (excl Granville Rd) - £24m

This budget is spread relatively smoothly over 2021/22/23/24/25 enabling contract and staff resources to be allocated accordingly and limit peaks and troughs in workload. The budget provides for significant work programmes of energy efficiency, specific work to Athol houses as well as the cyclical external painting programme and work to wall and balconies. Significant spend is allocated to Decent Homes work, including the replacement of kitchens, bathrooms, doors and windows. There is particular spend and ongoing spend in 2021/2/3 on estate improvements, including door entry systems.

➤ Regeneration - £1.14m

This budget is for work that falls outside of a major programme, e.g. due to no access or a particular problem has arisen. The work addresses key building components to ensure the property remains safe and is kept in good repair. It includes new windows, rewiring as well as new kitchens and bathrooms with similar volumes of work being carried out in each year. It also includes for decanting properties and associated work to link in with the regeneration programme.

➤ Miscellaneous Repairs – £6.95m

This budget deals with the replacement of water mains, domestic and communal heating systems, aerials, one off electrical rewiring and re-roofing that falls outside of other programmes or is combined with other relevant work. As with other budgets the spend is evenly spread across the years.

➤ Mechanical, electrical and gas services - £9.52m

This budget includes for significant spend on domestic rewiring and the replacement of electrical rising mains in blocks of flats. It also includes for the replacement of collapsed drains and the installation of new water mains. Work is spread evenly with no particular peaks and troughs.

➤ Voids and Lettings - £10.77m

The voids budget, which also includes work the voids in hostels and adaptations that are needed to make homes suitable for the particular needs of new tenants. The budget anticipated the same spend on voids and adaptations annually over the period.

#### 1.5.8 Mosaic system

Due to a change in funding method for some of the project costs from revenue to capital, an additional £0.3m is required by Adults and Communities for the Mosaic (Investing in IT) Capital programme. This additional amount will be funded from borrowing and will increase the total capital budget to £2.19m but does not change the total cost of the scheme.

#### 1.5.9 Highways major repairs capitalisation

A capital addition of £1.050m is required in relation to major repairs works to highways. This extends the existing capital project for one additional year. This is part of a phased decapitalisation of the project, with the second tranche taking place in 2021/22 meaning it will be fully revenue funded by that year.

#### 1.5.10 Strategic Opportunities Fund

The Strategic Opportunities Fund is available to support capital acquisitions which generate an overall return to the council. In order to allow the council to be agile and exploit opportunities quickly, as they arise it is necessary to increase the value of the capital budget available. All prospective acquisitions

will be justified by a comprehensive business case showing the estimated returns and presented to ARG for approval. Officers recommend a budget increase of £6m. This capital budget increase is linked to the commercial property acquisitions saving described in paragraph 1.3.15.

#### 1.5.11 Total additions

The profiling of the additions described above is set out in the summary table below.

<b>Addition</b>	<b>2019-20</b>	<b>2020-21</b>	<b>2021-22</b>	<b>2022-23</b>	<b>2023-24</b>	<b>2024-25</b>	<b>Total</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Investing in IT	300	-	-	-	-	-	<b>300</b>
Disabled Facilities Grants Programme	643	-	-	-	-	-	<b>643</b>
Highways Planned Maintenance	-	1,050	-	-	-	-	<b>1,050</b>
Major Works (excl Granville Rd)	-	-	-	8,505	7,062	8,444	<b>24,011</b>
Regeneration	-	-	-	644	274	217	<b>1,135</b>
Miscellaneous Repairs	-	-	-	2,315	2,315	2,315	<b>6,944</b>
M&E/ GAS	-	-	-	3,940	2,440	3,140	<b>9,520</b>
Voids and Lettings	-	-	-	3,655	3,505	3,605	<b>10,765</b>
Upper & Lower Fosters Community Led Design	-	1,600	-	-	-	-	<b>1,600</b>
Strategic opportunities fund	-	6,000	-	-	-	-	<b>6,000</b>
<b>Total</b>	<b>943</b>	<b>8,650</b>	<b>-</b>	<b>19,059</b>	<b>15,596</b>	<b>17,721</b>	<b>61,968</b>

1.5.12 Including the slippage and additions described previously, the changes to be incorporated into the revised Capital Programme are as follows:

<b>Theme Committee</b>	<b>Net Slippage &amp; Accelerated spend</b>	<b>Deletions</b>	<b>Additions</b>
Adults and Safeguarding	(795)		300
Assets, Regeneration & Growth	(53,519)	(13)	6,000
Children, Education & Safeguarding	(24,427)	(34)	
Community Leadership and Libraries			
Environment	(6,401)		1,050
Housing	(5,107)	(275)	643
Policy & Resources			

Housing (HRA)	(63,198)	(8,080)	53,975
<b>Total:</b>	<b>(153,447)</b>	<b>(8,402)</b>	<b>61,968</b>

1.5.13 Incorporating the changes described in the table above, the Capital Programme would total £1.121bn and is set out below in summary form.

Theme Committee	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total
	£000	£000	£000	£000	£000	£000	£000
Adults and Safeguarding	14,884	795					15,679
Assets, Regeneration & Growth	334,303	191,483	91,407	46,600	32,850		696,643
Children, Education & Safeguarding	25,192	16,284	7,769	539			49,784
Community Leadership and Libraries							
Environment	23,751	13,751	6,250	50			43,802
Housing	21,388	6,024					27,412
Policy & Resources	20,402	9,449					29,851
<b>Total - General Fund</b>	<b>439,920</b>	<b>237,786</b>	<b>105,426</b>	<b>47,189</b>	<b>32,850</b>		<b>863,171</b>
Housing (HRA)	40,748	92,335	64,299	25,625	16,911	17,721	257,637
<b>Total - all services</b>	<b>480,668</b>	<b>330,121</b>	<b>169,725</b>	<b>72,814</b>	<b>49,761</b>	<b>17,721</b>	<b>1,120,808</b>

1.5.14 The capital programme shown above is funded from the following sources:

Theme Committee	Grants	S106	Capital Receipts	RCCO/MRA	CIL	Debt	Total
	£000	£000	£000	£000	£000	£000	£000
Adults and Safeguarding	2,000	700	500		10,291	2,188	15,679
Assets, Regeneration & Growth	362,268	14,764	12,677		15,732	291,202	696,643
Children, Education & Safeguarding	39,235	3,536	910		852	5,251	49,784
Community Leadership and Libraries							
Environment	3,156	965	3,380	440	12,040	23,821	43,802
Housing	6,012	3,817	4,137	650		12,796	27,412
Policy & Resources			6,074	5		23,772	29,851
<b>Total - General Fund</b>	<b>412,671</b>	<b>23,782</b>	<b>27,678</b>	<b>1,095</b>	<b>38,915</b>	<b>359,030</b>	<b>863,171</b>
<b>Housing (HRA)</b>	<b>17,740</b>		<b>13,331</b>	<b>141,162</b>		<b>85,404</b>	<b>257,637</b>
<b>Total - all services</b>	<b>430,411</b>	<b>23,782</b>	<b>41,009</b>	<b>142,257</b>	<b>38,915</b>	<b>444,434</b>	<b>1,120,808</b>

## Borrowing

1.5.15 £437m of the total capital programme will be funded from borrowing of which £210m is on-lent to Opendoor Homes for the acquisition or delivery of new housing.

1.5.16 Borrowing is typically, Public Works Loan Board loans to support capital expenditure; this type of capital funding has revenue implications (i.e. interest and provision to pay back loan).

1.5.17 Based on the current value of the borrowing requirement, there will be an additional MRP charge of £3.29m 2020/21. This is within the budget allowed for in the MTFS.

### **Capital Receipts**

1.5.18 The council has previously highlighted a risk in the level of capital receipts that it currently holds or forecasts to receive. Capital Receipts are proceeds of capital sales (land, buildings, etc.) and are re-invested into purchasing other capital assets.

1.5.19 £41m of the above capital programme is planned to be funded by capital receipts. Current receipts are standing at £21.19m with £19.36m being HRA receipts and the remaining £1.83m are General Fund receipts.

1.5.20 Of the £41m, £13.33m will be funded from HRA capital receipt (RTB Receipts). Current HRA capital receipt balances plus future estimates suggest that there will be enough HRA capital receipts to fund the relevant projects.

1.5.21 The remaining £27.67m is expected to come from General Fund capital receipts. With £19.48m needed in 2019/20. There are currently no General Fund disposals agreed however it is estimated that capital receipts by the end of the year will be £10m.

1.5.22 Assuming no further General Fund disposals during 2019/20 there would be a gap of £19.48m. This gap would be replaced by borrowing which would result in additional £336k interest costs in 2019/20 and £320k of MRP increase in 2020/21 and future years.

### **Capital Grants & Contributions**

1.5.23 The current capital programme funding forecast shows £430.4m will be funded from Capital Grants. S106 and CIL are standing at £23.78m and £38.91m respectively.

1.5.24 Capital grants are mainly received from central government departments (such as the Brent Cross grant from MHCLG) or other partners or funding agencies (such Transport for London, Education Funding Authority).

1.5.25 S106 contributions are a developer contribution towards infrastructure; confined to specific area and to be used within specific timeframe.

- 1.5.26 Community Infrastructure Levy (CIL) funds are developer contribution towards infrastructure; can be used borough wide but still has time restrictions on use.
- 1.5.27 Current capital programme forecasts plus future estimates suggest that there will be enough S106 contributions to fund the relevant projects.
- 1.5.28 Based on the current forecasts for CIL funded projects, there is a gap of £4.62m in 2019/20.

## **2. REASONS FOR RECOMMENDATIONS**

- 2.1.1 The council's MTFS sets out the estimated overall financial position of the council over a period of time. This report recommends the noting of progress towards a balanced budget for 2020/21 onwards in order to ensure Councillors and the public are informed of this work, supporting good governance.
- 2.1.2 Ongoing budget maintenance in the form of virements and the allocation of contingency funds support strong financial management.
- 2.1.3 The revisions to the capital programme ensure that the council's financial planning accurately reflects what is happening with scheme delivery. This ensures that the council can make effective decisions on the deployment of its scarce resources.

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

- 3.1.1 The council could consider alternative options to allocate contingency funding however these could result in service delivery problems or fail to address structural budget deficits.
- 3.1.2 The alternative option to reducing the capital programme would be to make revenue reductions in order to fund the cost of borrowing.

## **4. POST DECISION IMPLEMENTATION**

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

## **5. IMPLICATIONS OF DECISION**

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

- 5.1.1 This supports the council's corporate priorities as expressed through the Corporate Plan for 2019-24 which sets out our vision and strategy for the next 5 years. This includes the **outcomes** we want to achieve for the borough, the **priorities** we will focus limited resources on, and our **approach** for how we will deliver this.



5.1.2 Our 3 outcomes for the borough focus on place, people and communities:

- a pleasant, well maintained borough that we protect and invest in
- our residents live happy, healthy, independent lives with the most vulnerable protected
- safe and strong communities where people get along well

5.1.3 The approach for delivering on this is underpinned by four strands; ensuring residents get a fair deal, maximising on opportunities, sharing responsibilities with the community and partners, and working effectively and efficiently

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

5.2.1 The report considers strategic financial matters and refreshes the presents the current position of the council's MTFs. Action will now take place to identify savings and ensure they go through the appropriate governance process to set a legal budget in March 2020.

5.2.2 The proposed changes to the capital programme reduce the cost of borrowing and therefore support the council's revenue budget.

5.2.3 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 must 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

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

Article 4 sets out the role of Full Council “approving the strategic financing of the council upon recommendations of the Policy and resources committee, determination of financial strategy, approval of the budget, approval of the capital programme”.

## **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 allocation of budgets from contingency seeks to mitigate financial risks which have materialised.

## **7. Equalities and Diversity**

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

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

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

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

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

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

- 7.1.4 Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:
- Tackle prejudice, and
  - Promote understanding.
- 7.1.5 Compliance with the duties in this section may involve treating some persons more favourably than others; but that is not to be taken as permitting conduct that would otherwise be prohibited by or under this Act. The relevant protected characteristics are:
- Age
  - Disability
  - Gender reassignment
  - Pregnancy and maternity
  - Race,
  - Religion or belief
  - Sex
  - Sexual orientation
  - Marriage and Civil partnership
- 7.1.6 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.
- 7.1.7 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](http://www.barnet.gov.uk/info/200041/equality_and_diversity/224/equality_and_diversity)

## **8. Corporate Parenting**

- 8.1.1 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. The outcomes and priorities in the refreshed Corporate Plan, Barnet 2024, reflect the council's commitment to the Corporate Parenting duty to ensure the most vulnerable are protected and the needs of children are considered in everything that the council does. To this end, great attention has been paid to the needs of children in care and care leavers when approaching business planning, to ensure decisions are made through the lens of what a reasonable parent would do for their own child.
- 8.1.2 The Council, in setting its budget, has considered the Corporate Parenting Principles both in terms of savings and investment proposals. The Council proposals have sought to protect front-line social work and services to children in care and care leavers and in some cases, has invested in them.

## **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.
- 9.3** 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.
- 9.4** The council will perform budget consultation during December 2019 through to January 2020. This consultation will cover any proposals to increase council tax together with seeking views on the council's budget overall.
- 9.5** There are no direct consultation implications from the decisions recommended within this report.

## **10. Insight**

- 10.1** None in the context of this report

## **11. Background Papers**

Committee	Item & Agenda	Link
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Council 5 March 2019	Corporate Plan, Medium Term Financial Strategy 2019/24 and Budget for 2019/20	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&amp;MId=9456&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&amp;MId=9456&amp;Ver=4</a>
Policy & Resources 20 February 2019	Item 8 Corporate Plan, Medium Term Financial Strategy 2019/24 and Budget for 2019/20	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9461&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9461&amp;Ver=4</a>
Policy & Resources 11 December 2018	Item 8 Corporate Plan 2019-24, Business Planning - Medium Term Financial Strategy 2019/24 and Draft Budget for 2019/20	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9460&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9460&amp;Ver=4</a>
Policy & Resources 23 October 2018	Item 10 Budget Management 2018/19	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9459&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9459&amp;Ver=4</a>
Policy & Resources 19 July 2018	Item 7 Business Planning	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9725&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9725&amp;Ver=4</a>
Policy & Resources 11 June 2018	Item 4 Business Planning	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9458&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9458&amp;Ver=4</a>
Full Council 6 March 2018	Item 12 Business Planning 2018-20	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&amp;MId=9162&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&amp;MId=9162&amp;Ver=4</a>

Resources vs. Expenditure	2020/21	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m	£m
Resources	306.687	304.872	311.921	318.743	324.388
Expenditure	312.111	323.781	335.818	348.919	364.695
<b>Net Surplus/(Deficit)</b>	<b>(5.424)</b>	<b>(18.909)</b>	<b>(23.897)</b>	<b>(30.176)</b>	<b>(40.307)</b>
<b>Funded from reserves</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>Net Surplus/(Deficit) after reserves</b>	<b>(5.424)</b>	<b>(18.909)</b>	<b>(23.897)</b>	<b>(30.176)</b>	<b>(40.307)</b>

Forecast Expenditure	2020/21	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m	£m
<b>Base Expenditure Budget</b>	<b>300.153</b>	<b>312.111</b>	<b>323.781</b>	<b>335.818</b>	<b>348.919</b>
Inflation - Pay	2.048	2.089	2.131	2.173	2.217
Inflation - Non Pay	3.344	3.411	3.479	3.549	3.620
Capital Financing Costs	(0.303)	(0.735)	(1.164)	0.000	0.000
Pension deficit recovery contributions	0.501	0.511	0.521	0.531	0.542
<b>Statutory / Cost Drivers Sub Total</b>	<b>5.590</b>	<b>5.276</b>	<b>4.967</b>	<b>6.254</b>	<b>6.379</b>
Contingency - general risks	2.800	3.100	3.500	3.000	0.500
Transfer to smoothing reserve	0.000	0.000	0.000	0.000	0.000
North London Waste Authority levy	1.000	1.000	1.000	1.000	1.000
Service Pressures - MTFS	15.630	9.428	8.570	7.804	7.898
Council Tax Support Discretionary Relief	(0.500)	0.000	0.000	0.000	0.000
<b>Service Expenses sub total</b>	<b>18.930</b>	<b>13.528</b>	<b>13.070</b>	<b>11.804</b>	<b>9.398</b>
IBCF & Adult Social Care grant	0.000	0.000	0.000	0.000	0.000
Public Health Grant increase	0.568	0.000	0.000	0.000	0.000
London Crime Prevention Fund	0.000	0.000	0.000	0.000	0.000
Flexible Homelessness Support Grant	0.000	0.000	0.000	0.000	0.000
Special Educational Needs & Disability	0.000	0.000	0.000	0.000	0.000
<b>Grant Income grossed up</b>	<b>0.568</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>Total Forecast Expenditure</b>	<b>325.240</b>	<b>330.914</b>	<b>341.818</b>	<b>353.876</b>	<b>364.695</b>

Forecast Resources	2020/21	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m	£m
<b>New Formula Grant Funding</b>					
Business Rates (inc. S31 Grants)	38.443	33.395	34.049	34.702	34.702
Collection Fund Smoothing Reserve Implementation	0.000	0.000	0.000	0.000	0.000
Business Rates Top Up / (Tariff)	19.810	26.748	27.271	27.795	27.795
RSG	6.310	3.849	3.849	3.849	3.849
<b>New Formula Grant Sub Total</b>	<b>64.564</b>	<b>63.993</b>	<b>65.170</b>	<b>66.347</b>	<b>66.347</b>
<b>Council Tax</b>					
CT Income	184.677	193.775	199.648	205.292	210.937
SC Precept	3.621	0.000	0.000	0.000	0.000
<b>Council Tax Income</b>	<b>188.298</b>	<b>193.775</b>	<b>199.648</b>	<b>205.292</b>	<b>210.937</b>
CT Collection Fund Contribution	0.000	0.000	0.000	0.000	0.000
PFI Credit	2.235	2.235	2.235	2.235	2.235
New Homes Bonus	10.224	10.224	10.224	10.224	10.224
Housing and CT Benefit Admin	1.459	1.313	1.313	1.313	1.313

Resources vs. Expenditure	2020/21	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m	£m
Public Health	17.271	17.271	17.271	17.271	17.271
London Crime Prevention Fund	0.344	0.000	0.000	0.000	0.000
Flexible Homelessness Support Grant	4.250	4.250	4.250	4.250	4.250
Special Educational Needs & Disability Grant	0.231	0.000	0.000	0.000	0.000
Social Care (ASC and CSC)	8.473	2.473	2.473	2.473	2.473
Winter Pressures Grant	1.447	1.447	1.447	1.447	1.447
ASC Grant / IBCF	7.891	7.891	7.891	7.891	7.891
<b>Other Funding Sub Total</b>	<b>242.123</b>	<b>240.879</b>	<b>246.752</b>	<b>252.396</b>	<b>258.041</b>
<b>Total Income From Grant and Council Tax</b>	<b>306.687</b>	<b>304.872</b>	<b>311.921</b>	<b>318.743</b>	<b>324.388</b>
Budget Gap before Savings	(18.553)	(26.042)	(29.897)	(35.133)	(40.307)
Saving Proposals Identified (Green & Amber)	13.130	7.133	6.000	4.957	0.000
<b>Proposed Savings</b>	<b>13.130</b>	<b>7.133</b>	<b>6.000</b>	<b>4.957</b>	<b>0.000</b>
Budget Gap after Savings	(5.424)	(18.909)	(23.897)	(30.176)	(40.307)
Collection Fund Smoothing Reserve	0.000	0.000	0.000	0.000	0.000
<b>Reserves Sub Total</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>Total funding Surplus/(Deficit)</b>	<b>(5.424)</b>	<b>(18.909)</b>	<b>(23.897)</b>	<b>(30.176)</b>	<b>(40.307)</b>
<b>Incremental gap</b>	<b>(5.424)</b>	<b>(13.485)</b>	<b>(4.988)</b>	<b>(6.279)</b>	<b>(10.131)</b>



Year	Theme	Programme	Deletions/Transfers	Additions	Net Slippage & Accelerated spend	Explanation for request	Funding
2019-20	Adults and Safeguarding	Investing in IT		300	(128)	Additional Budget/Budget reprofile	Borrowing
2019-20	Children, Education & Safeguarding	Modernisation - Primary & Secondary	(46)		(697)	Budget not required/Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Saracens Primary			(2,200)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	St James / Blessed Dominic	12		(628)	Budget re-profile	Other Grants/S106
2019-20	Children, Education & Safeguarding	Oakleigh SEN			(1,700)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Claremont SEN			(100)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	School place planning (Primary )			(1,348)	Budget re-profile	Other Grants/S106
2019-20	Children, Education & Safeguarding	SEN			(6,503)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Meadow Close Children's Homes			(1,876)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Meadow Close Children's Homes	300			Budget Virement	Borrowing
2019-20	Children, Education & Safeguarding	Family Services Estate - building compliance, extensive R&M, H&S, DDA	(300)			Budget Virement	Borrowing
2019-20	Children, Education & Safeguarding	Family Services Estate			(863)	Budget re-profile	Other Grants & Contributions
2019-20	Housing	Out of borough acquisition	(7)			Budget not required	Borrowing
2019-20	Housing	Micro site development for affordable housing	(44)		(1,930)	Budget not required/Budget re-profile	Borrowing
2019-20	Housing	Disabled Facilities Grants Programme		643		Additional Budget	Other Grants & Contributions
2019-20	Housing	Decent Homes Programme	(224)			Budget not required	Borrowing
2019-20	Assets, Regeneration & Growth	Development pipeline	(13)			Budget not required	Borrowing
2019-20	Housing Revenue Account	Major Works (excl Granv Rd)			(2,315)	Budget re-profile	HRA Major Repair Reserve
2019-20	Housing Revenue Account	Regeneration			903	Budget re-profile	HRA Major Repair Reserve
2019-20	Housing Revenue Account	Miscellaneous Repairs			(468)	Budget re-profile	HRA Major Repair Reserve
2019-20	Housing Revenue Account	M&E/ GAS			1,009	Budget re-profile	HRA Major Repair Reserve
2019-20	Housing Revenue Account	Voids and Lettings			708	Budget re-profile	HRA Major Repair Reserve
2022-23	Housing Revenue Account	Major Works (excl Granv Rd)	(3,590)			Budget not required	HRA Major Repair Reserve
2022-23	Housing Revenue Account	Regeneration			903	Budget not required	HRA Major Repair Reserve
2022-23	Housing Revenue Account	Miscellaneous Repairs	(468)			Budget not required	HRA Major Repair Reserve
2022-23	Housing Revenue Account	M&E/ GAS				Budget not required	HRA Major Repair Reserve
2022-23	Housing Revenue Account	Voids and Lettings	1,458			Budget not required	HRA Major Repair Reserve
2022-23	Housing Revenue Account	Major Works (excl Granv Rd)		8,505		Additional Budget	HRA Major Repair Reserve
2022-23	Housing Revenue Account	Regeneration		644		Additional Budget	HRA Major Repair Reserve
2022-23	Housing Revenue Account	Miscellaneous Repairs		2,315		Additional Budget	HRA Major Repair Reserve
2022-23	Housing Revenue Account	M&E/ GAS		3,940		Additional Budget	HRA Major Repair Reserve
2022-23	Housing Revenue Account	Voids and Lettings		3,655		Additional Budget	HRA Major Repair Reserve
2023-24	Housing Revenue Account	Major Works (excl Granv Rd)		7,062		Additional Budget	HRA Major Repair Reserve
2023-24	Housing Revenue Account	Regeneration		274		Additional Budget	HRA Major Repair Reserve
2023-24	Housing Revenue Account	Miscellaneous Repairs		2,315		Additional Budget	HRA Major Repair Reserve
2023-24	Housing Revenue Account	M&E/ GAS		2,440		Additional Budget	HRA Major Repair Reserve
2023-24	Housing Revenue Account	Voids and Lettings		3,505		Additional Budget	HRA Major Repair Reserve
2024-25	Housing Revenue Account	Major Works (excl Granv Rd)		8,444		Additional Budget	HRA Major Repair Reserve
2024-25	Housing Revenue Account	Regeneration		217		Additional Budget	HRA Major Repair Reserve
2024-25	Housing Revenue Account	Miscellaneous Repairs		2,315		Additional Budget	HRA Major Repair Reserve
2024-25	Housing Revenue Account	M&E/ GAS		3,140		Additional Budget	HRA Major Repair Reserve
2024-25	Housing Revenue Account	Voids and Lettings		3,605		Additional Budget	HRA Major Repair Reserve
2019-20	Housing Revenue Account	Advanced Acquisitions (Regen Estates)	(4,418)			Budget not required	HRA capital Receipts
2020-21	Housing Revenue Account	Upper & Lower Fosters Community Led Design		1,600	(445)	Additional Budget/Budget reprofile	HRA borrowing
2020-21	Housing Revenue Account	HRA Fire Safety Programme	(1,965)		(16,489)	Budget not required/Budget re-profile	HRA Major Repair Reserve
2019-20	Adults and Safeguarding	Sport and Physical Activities			(667)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Orion Primary School			(20)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	St Agnes			(38)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Kosher Kitchen			(600)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Grammar school projects			(920)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Whitefield School ASD			(45)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	School place planning (Secondary)			(609)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Alternative Provision			(6,001)	Budget re-profile	Other Grants & Contributions
2019-20	Children, Education & Safeguarding	Early Education and Childcare place sufficiency			(279)	Budget re-profile	Other Grants & Contributions
2019-20	Housing	Empty Properties			(670)	Budget re-profile	Capital Receipt
2019-20	Housing	Modular Homes			(1,318)	Budget re-profile	Borrowing
2019-20	Housing	St Georges Lodge temporary accommodation conversion			(17)	Budget re-profile	Borrowing
2019-20	Assets, Regeneration & Growth	New Build Housing (Open Door)			(24,032)	Budget re-profile	Borrowing
2019-20	Assets, Regeneration & Growth	Housing acquisitions Open Door			(23,700)	Budget re-profile	Borrowing
2019-20	Housing	Pinkham Way land release			(1,172)	Budget re-profile	Other Grants & Contributions
2020-21	Environment	Highways Planned Maintenance Works Programme		1,050		Additional Budget	Borrowing
2019-20	Environment	Highways Improvement			(143)	Budget re-profile	S106
2019-20	Environment	Travel Plan Implementation			(31)	Budget re-profile	S106
2020-21	Assets, Regeneration & Growth	Strategic opportunities fund		6,000		Additional Budget	Borrowing
2019-20	Environment	Carriageways			(798)	Budget re-profile	Borrowing
2019-20	Environment	Road Traffic Act - Controlled Parking Zones			(33)	Budget re-profile	S106
2019-20	Assets, Regeneration & Growth	Colindale – Parks, Open Spaces and Sports			(104)	Budget re-profile	CIL
2019-20	Environment	LED Lighting			(3,800)	Budget re-profile	Borrowing
2019-20	Environment	Highways (permanent re-instatement)			(675)	Budget re-profile	Capital Receipt
2019-20	Environment	Park Infrastructure			(325)	Budget re-profile	S106
2019-20	Environment	Data Works Management system			(100)	Budget re-profile	Capital Receipt
2019-20	Environment	Green spaces development project			(496)	Budget re-profile	Borrowing
2019-20	Assets, Regeneration & Growth	Colindale – Highways and Transport			(2,762)	Budget re-profile	CIL
2019-20	Assets, Regeneration & Growth	Colindale Station Works			1,300	Budget re-profile	Borrowing
2019-20	Assets, Regeneration & Growth	Grahame Park – Community Facilities			(1,973)	Budget re-profile	S106
2019-20	Assets, Regeneration & Growth	Town Centre			(2,248)	Budget re-profile	CIL
2019-20	Housing Revenue Account	Ansell Court - extra care housing			(805)	Budget re-profile	HRA borrowing
2019-20	Housing Revenue Account	Dollis Valley - property acquisitions			(6,589)	Budget re-profile	HRA Capital Receipts
2019-20	Housing Revenue Account	Extra Care- housing (Stag & Cheshire)			(33,789)	Budget re-profile	HRA borrowing
2019-20	Housing Revenue Account	Burnt Oak Broadway Flats - additional storey			(4,521)	Budget re-profile	HRA borrowing
2019-20	Housing Revenue Account	Barnet Homes GLA development programme			(397)	Budget re-profile	HRA borrowing
		Total:-	(8,402)	61,968	(153,447)		

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Theme Committee	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>Adults and Safeguarding</b>	14,584	795					<b>15,379</b>	2,000	700	500		10,291	1,888	<b>15,379</b>
<b>Assets, Regeneration &amp; Growth</b>	334,303	185,483	91,407	46,600	32,850		<b>690,643</b>	362,268	14,764	12,677		15,732	285,202	<b>690,643</b>
<b>Children, Education &amp; Safeguarding</b>	24,957	16,284	7,769	539			<b>49,549</b>	39,235	3,536	842		852	5,084	<b>49,549</b>
<b>Community Leadership and Libraries</b>	235						<b>235</b>			68			167	<b>235</b>
<b>Environment</b>	23,751	12,701	6,250	50			<b>42,752</b>	3,156	965	3,380	440	12,040	22,771	<b>42,752</b>
<b>Housing</b>	20,745	6,024					<b>26,769</b>	5,369	3,817	4,137	650		12,796	<b>26,769</b>
<b>Policy &amp; Resources</b>	20,402	9,449					<b>29,851</b>			6,074	5		23,772	<b>29,851</b>
<b>Total - General Fund</b>	<b>438,977</b>	<b>230,736</b>	<b>105,426</b>	<b>47,189</b>	<b>32,850</b>		<b>855,178</b>	<b>412,028</b>	<b>23,782</b>	<b>27,678</b>	<b>1,095</b>	<b>38,915</b>	<b>351,680</b>	<b>855,178</b>
<b>Housing (HRA)</b>	40,748	90,735	64,299	6,566	1,315		<b>203,662</b>	17,740		13,331	88,786		83,805	<b>203,662</b>
<b>Total - all services</b>	<b>479,725</b>	<b>321,471</b>	<b>169,725</b>	<b>53,755</b>	<b>34,165</b>		<b>1,058,840</b>	<b>429,768</b>	<b>23,782</b>	<b>41,009</b>	<b>89,881</b>	<b>38,915</b>	<b>435,485</b>	<b>1,058,840</b>

<b>Adults and Safeguarding</b>	<b>2019-20</b>	<b>2020-21</b>	<b>2021-22</b>	<b>2022-23</b>	<b>2023-24</b>	<b>2024-25</b>	<b>Total</b>	<b>Grants</b>	<b>S106</b>	<b>Capital Receipts</b>	<b>RCCO/ MRA</b>	<b>CIL</b>	<b>Borrowing</b>	<b>Total</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Sport and Physical Activities	12,124	667					12,791	2,000		500		10,291		12,791
Gaelic playing pitch relocation	700						700		700					700
Investing in IT	1,760	128					1,888						1,888	1,888
	<b>14,584</b>	<b>795</b>					<b>15,379</b>	<b>2,000</b>	<b>700</b>	<b>500</b>		<b>10,291</b>	<b>1,888</b>	<b>15,379</b>

<b>Assets, Regeneration &amp; Growth</b>	<b>2019-20</b>	<b>2020-21</b>	<b>2021-22</b>	<b>2022-23</b>	<b>2023-24</b>	<b>2024-25</b>	<b>Total</b>	<b>Grants</b>	<b>S106</b>	<b>Capital Receipts</b>	<b>RCCO/ MRA</b>	<b>CIL</b>	<b>Borrowing</b>	<b>Total</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
BXC - Funding for land acquisition	16,198						16,198						16,198	16,198
Colindale – Parks, Open Spaces and Sports	5,300	1,104	500				6,904	333	65			6,506		6,904
Office Build	10,882						10,882		102			1,159	9,621	10,882
Colindale – Highways and Transport	3,300	4,189					7,489	948	2,715			3,826		7,489
Colindale Station Works	12,300	200					12,500		9,750				2,750	12,500
New Build Housing (Open Door)	30,000	30,089					60,089			12,677			47,412	60,089
Housing acquisitions Open Door	8,300	40,700	40,700	40,700	32,600		163,000						163,000	163,000
Grahame Park – Community Facilities	159	1,973					2,132		2,132					2,132
Town Centre	126	2,998	750	750	250		4,874	633				4,241		4,874
Thames Link Station	212,538	61,430	29,110	5,150			308,228	305,354					2,874	308,228
Critical Infrastructure	12,200	42,800					55,000	55,000						55,000
Development pipeline														
Strategic opportunities fund			20,347				20,347						20,347	20,347
Strategic Infrastructure Fund	23,000						23,000						23,000	23,000
	<b>334,303</b>	<b>185,483</b>	<b>91,407</b>	<b>46,600</b>	<b>32,850</b>		<b>690,643</b>	<b>362,268</b>	<b>14,764</b>	<b>12,677</b>		<b>15,732</b>	<b>285,202</b>	<b>690,643</b>

Children, Education & Safeguarding	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Modernisation - Primary & Secondary	3,501	697					4,198	4,198						4,198
Healthy Pupils Fund	19						19	19						19
Orion Primary School	20	20					40	40						40
Monkfrith	112						112	112						112
St Agnes	785	38					823	823						823
Saracens Primary	15	1,650	550				2,215	2,211	4					2,215
Kosher Kitchen	200	600					800	800						800
<b>Permanent All Through Expansion Programme</b>														
London Academy	21						21	21						21
St Mary's & St John's	349						349	349						349
<b>Permanent Primary/Secondary(reallocation) Expansion Programme</b>														
St James / Blessed Dominic	12,587	628					13,215	11,036	2,179					13,215
<b>Permanent Secondary Expansion Programme</b>														
Oak Lodge Special School	40						40	40						40
Grammar school projects	80	241	140	539			1,000						1,000	1,000
<b>SEN Programme</b>														
Oakleigh SEN	120	1,700					1,820	1,820						
Claremont SEN		100					100	100						
Whitefield School ASD	1,813	45					1,858	1,858						1,858
<b>Other Projects</b>														
Whitings Hill, Colindale and Northway/Fairway														
School place planning (Primary )		1,348					1,348	1,263	85					1,348
School place planning (Secondary)		609					609	341	268					609
SEN			6,503				6,503	5,503	1,000					6,503
Alternative Provision	2,700	6,001					8,701	8,701						8,701
Early Education and Childcare place sufficiency	408	444					852					852		852
Information Management	298						298			53			245	298
Loft conversion and extension policy for Foster Carers	240						240			175			65	240
New Park House Children's home	3						3						3	3
Meadow Close Children's Homes	1,043	1,300	576				2,919						2,919	2,919
Family Services Estate - building compliance, extensive R&M, H&S, DDA	603	863					1,466			614			852	1,466
	24,957	16,284	7,769	539			49,549	39,235	3,536	842		852	5,084	47,629

Community Leadership and Libraries	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Libraries asset management	235						235			68			167	235
	235						235	-	-	68			167	235

Environment	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>HIGHWAYS TfL - LOCAL IMPLEMENTATION PLAN</b>														
Local Implementation Plan 2016/17 and onwards	3,067						3,067	3,067						3,067
<b>HIGHWAYS non-TfL</b>														
Footway Reconstruction	43						43		43					43
Traffic Management	4						4		4					4
Highways Improvement	180	143					323		323					323
Travel Plan Implementation	60	31					91		91					91
Carriageways	570	798					1,368						1,368	1,368
Highways Planned Maintenance Works Programme	40						40					40		40
Saracens - highways works	40						40		40					40
Drainage Schemes	70						70	69					1	70
Road Traffic Act - Controlled Parking Zones	75	33					108		107				1	108
Investment in Roads & Pavement (NRP)	7,191						7,191						7,191	7,191
Highway Asset Management/Network Recovery Plan (NRP) Phase 2	2,000	6,000	6,000				14,000					12,000	2,000	14,000
Refurbish and regenerate Hendon Cemetery and Crematorium	1,435						1,435			438	440		557	1,435
Hendon Cemetery & Crematorium Enhancement	32						32			32				32
Old Court House - public toilets	40						40		40					40
Parks & Open Spaces and Tree Planting	19						19	12		7				19
Park Infrastructure		325					325	8	317					325
Victoria Park Infrastructure	611						611			611				611
Data Works Management system	280	100					380			380				380
Parks Equipment	107						107			107				107
Vehicles	2,453						2,453			799			1,654	2,453
Street cleansing and greenspaces - vehicles and equipment	1						1						1	1
Green spaces development project	125	496					621						621	621
Lines and Signs	307						307						307	307
LED Lighting	3,800	3,800					7,600						7,600	7,600
Pay and Display parking machine estate upgrade	120						120						120	120
Moving traffic cameras	231	150	100				481						481	481
Controlled parking zones review	150	150	150	50			500						500	500
Highways (permanent re-instatement)	700	675					1,375			1,006			369	1,375
	<b>23,751</b>	<b>12,701</b>	<b>6,250</b>	<b>50</b>			<b>42,752</b>	<b>3,156</b>	<b>965</b>	<b>3,380</b>	<b>440</b>	<b>12,040</b>	<b>22,771</b>	<b>42,752</b>

Housing	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Empty Properties	3,000	1,137					4,137			4,137				4,137
Chilvins Court	60						60				60			60
Out of borough acquisition														
Direct Acquisitions	9,770						9,770						9,770	9,770
Modular Homes	1,358	1,318					2,676						2,676	2,676
St Georges Lodge temporary accommodation conversion	333	17					350						350	350
Hermitage Lane - mixed tenure residential conversion	590						590				590			590
Pinkham Way land release	200	1,172					1,372	1,372						1,372
Micro site development for affordable housing	3,531	1,930					5,461	1,644	3,817					5,461
Disabled Facilities Grants Programme	1,899	450					2,349	2,349						2,349
Decent Homes Programme														
DECC - Fuel Poverty	4						4	4						4
	<b>20,745</b>	<b>6,024</b>					<b>26,769</b>	<b>5,369</b>	<b>3,817</b>	<b>4,137</b>	<b>650</b>		<b>12,796</b>	<b>26,769</b>

Policy & Resources	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Depot relocation	834						834			834				834
Community Centre - Tarling Road	33						33				5		28	33
Asset Management	1,649						1,649			649			1,000	1,649
ICT strategy	2,980						2,980			2,980				2,980
Customer Services Transformation Programme	1,038						1,038			1,038				1,038
Implementation of Locality Strategy	573						573			573				573
Saracen Loan	13,295	9,449					22,744						22,744	22,744
	<b>20,402</b>	<b>9,449</b>					<b>29,851</b>	<b>-</b>	<b>-</b>	<b>6,074</b>	<b>5</b>		<b>23,772</b>	<b>29,851</b>

Housing (HRA)	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Major Works (excl Granv Rd)	3,914	5,470	7,993				17,377				17,377			17,377
Regeneration	2,304	525	787				3,616				3,616			3,616
Miscellaneous Repairs	1,919	2,315	2,325				6,558				6,115		443	6,558
M&E/ GAS	5,954	5,116	3,615				14,685				14,685			14,685
Voids and Lettings	3,698	4,055	3,905				11,658				11,658			11,658
Advanced Acquisitions (Regen Estates)	300						300			300				300
Ansell Court - extra care housing		805					805						805	805
Dollis Valley - property acquisitions		6,589					6,589			6,589				6,589
Extra Care- housing (Stag & Cheshire)	1,205	16,646	17,143				34,994	4,040		3,000			27,954	34,994
Burnt Oak Broadway Flats - additional storey	368	2,900	1,621				4,889			1,445			3,444	4,889
Upper & Lower Fosters Community Led Design	400	445					845				480		365	845
Stag house - property purchase	901						901			32			869	901
Barnet Homes GLA development programme	1,000	10,042	14,017	2,566			27,625	8,700					18,925	27,625
HRA acquisitions	10,000	21,000					31,000						31,000	31,000
Silk House and Shoelands	1,965						1,965			1,965				1,965
HRA Fire Safety Programme	6,820	14,827	12,893	4,000	1,315		39,855	5,000			34,855			39,855
	<b>40,748</b>	<b>90,735</b>	<b>64,299</b>	<b>6,566</b>	<b>1,315</b>		<b>203,662</b>	<b>17,740</b>		<b>13,331</b>	<b>88,786</b>		<b>83,805</b>	<b>203,662</b>





## Policy and Resources Committee

3 October 2019

<b>Title</b>	<b>Quarter 1 (Q1) 2019/20 Strategic Performance Report</b>
<b>Report of</b>	Chairman of the Policy and Resources Committee
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	Appendix A: Children's Services Analysis Tool (ChAT) Appendix B: Q1 2019/20 Corporate Risk Register Appendix C: Q1 2019/20 P&R Committee Delivery Plan Performance Report
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### Summary

This report provides a strategic overview of performance for Quarter 1 (Q1) 2019/20 in relation to the corporate priorities in the new Corporate Plan (Barnet 2024).

### Officer Recommendations

1. The Committee is asked to note the revenue and capital forecasts for 2019/20.
2. The Committee is asked to note the progress on savings for 2019/20.
3. The Committee is asked to scrutinise the Actions, KPIs and Risks related to the new Corporate Plan (Barnet 2024), including the escalated high (15 to 25) level risks in the Corporate Risk Register at Appendix A.

## 1. INTRODUCTION

- 1.1 This report provides a strategic overview of performance for Q1 focusing on the budget forecasts and activities to deliver the **corporate priorities** in the new **Corporate Plan** (Barnet 2024).
- 1.2 In addition to this report, a thematic overview of performance for Q1 focusing on the budget forecasts and activities to deliver the **committee priorities** in the **Annual Delivery Plans** is provided to the Theme Committees. These reports can be found on the Committee webpages at: <https://barnet.moderngov.co.uk/ieDocHome.aspx?bcr=1>
- 1.3 More detailed budgetary information can be found in the Theme Committee reports and the Chief Finance Officer Report to Financial Performance and Contracts Committee.

## 2. BUDGET FORECASTS

- 2.1 The General Fund revenue forecast for 2019/20 is **£306.219m**, which is a net overspend of **£6.583m**, compared with the revised budget of £299.636m (see table 1). This forecast is stated after the net contribution to specific and general earmarked reserves totalling £1.687m. Excluding reserve movements, the forecast is **£307.916m**, which is an **adverse variance of £8.280m**, compared with the revised budget of £299.636m.
- 2.2 All proposed reserve drawdowns and contributions will be considered and approved, if appropriate later in the financial year. These reserve movements are over and above the planned use of £4.040m of reserves approved to achieve a balanced budget.
- 2.3 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 and separately approved. The following table provides updates of the council revenue position against the revised budgets.

**Table 1: Revenue forecast (Q1 2019/20)**

Service	Revised Budget £000	Q1 Forecast £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move-ments £000	Forecast after Reserve Move-ments (Adv/(fav) £000	Variance after Reserve Move-ments Adv/(fav) £000
Adults and Health	111,801	113,781	1,980	(263)	113,518	1,717
Assurance	5,648	5,611	(37)	0	5,611	(37)
Children's Family Services	66,711	69,144	2,432	(434)	68,710	1,998
Growth and Corporate Services	36,198	39,221	3,022	0	39,221	3,022
Environment	21,086	22,722	1,636	0	22,722	1,636
Finance	55,722	53,786	(1,936)	0	53,786	(1,936)
Regional Enterprise (Re)	2,469	3,651	1,182	(1,000)	2,651	182

Service	Revised Budget £000	Q1 Forecast £000	Variance from Revised Budget Adv/(fav) £000	Reserve Move-ments £000	Forecast after Reserve Move-ments (Adv/(fav) £000	Variance after Reserve Move-ments Adv/(fav) £000
<b>Total</b>	<b>299,636</b>	<b>307,916</b>	<b>8,280</b>	<b>(1,697)</b>	<b>306,219</b>	<b>6,583</b>

- 2.4 The main reasons for the forecast overspend of £6.583m are set out below.
- 2.5 The revenue budget for **Adults and Health** is projected to overspend by £1.717m which represents 1.5% of the overall budget. The placements budget overspent by £1.407m because of unfunded demographic growth on Older Adults, Mental Health and Physical Activities Clients; offset by underspends in under 65s Learning Disabilities Clients.
- 2.6 The non-placements budget is underspent by £0.310m, which is the net effect of £0.672m overspend on staffing budget and £0.362m underspend predicted on prevention services mostly due to less demand on equipment and adaptations and management recovery plans to reduce budget pressures. The prevention services budget pays for several contracts on prevention services and DoLS.
- 2.7 Leisure, Sports and Physical Activity budget is forecasted to spend on budget.
- 2.8 There are several significant debtors (such as the Barnet Clinical Commissioning Group or BCCG) for the service which could result in debt write-offs being written back to the service. The service management are working to resolve the debt issue and the council has put in place a Debt Board to look in more detail at how debt is managed and pursued.
- 2.9 The revenue budget for **Assurance** is projected to underspend by £0.04m due to underspends on Electoral Service by-election costs (£0.032m) and Organisational Resilience (£0.027m due to delayed recruitment of Emergency Responders) partially offset by a £0.022m overspend due to additional shredding costs and software licences.
- 2.10 The revenue budget for **Children's Family Services** is projecting an overspend of £1.998m. This will reduce by £0.521m if the inflation bid for contracts is approved. Pressures arises from staffing, placement pressures, non-pay pressures offset by additional income relating to Cambridge Education Contract.
- 2.11 The nature of services provided to children and families by **Family Services** manage significant levels of risk. The implementation of the Barnet Children's Services Improvement Action Plan based on inspection findings and recommendations reduce this risk and drive forward improvements towards good quality services.
- 2.12 Staffing budgets were reduced by £1.371m. Mitigating actions are planned by management to deliver a reduction of agency spend of £0.308m, however £0.700m staffing pressures remains.

- 2.13 The forecast builds in assumptions for placement turnover of £2.264m (£2.043m on external placements and £0.221m on internal placements), however, due to the ongoing need to meet emergency situations, expenditure can fluctuate month on month.
- 2.14 **Legal spend** is currently projecting an overspend of £0.300m with further risk of £0.100m to the forecast, assuming legal spend will be in line with 2018/19 spend of £1.906m.
- 2.15 The position contains £0.677m of risks being offset by planned mitigating management actions in order to maintain current outturn as predicted (£0.190m staffing and £0.487m placements).
- 2.16 The revenue budget monitoring for **Environment** is forecasting a projected overspend of £1.636m.
- 2.17 For **Street Scene**, the forecasted outturn variance as at Q1 was a projected overspend of £1.578m. The main reasons for the projected overspend are Waste (frontline) with an overspend of £1.162m. The projected overspend is being generated by the cost of running the service from two sites, increases in staffing costs and increases in fleet repair costs due to vehicle ageing. There is a profiled reduction in spend through 2019/20 as round balancing continues and green waste cost reduction for the winter months. Management and service support is forecasting an overspend of £0.298m. The position assumes a number of reserve movements, of circa £1m. While other management actions are developed to continue downward pressure on the forecast spend.
- 2.18 The revenue budget for **Growth and Corporate Services** is forecasting a projected overspend of £3.022m which represents 8.3% of the overall budget.
- 2.19 **CSG Managed Budget (Estates)** are forecasting an overspend of £1.5m. The delayed moved to Colindale has resulted in an overspend of £0.4m of for North London Business Park buildings 2 and 4 rates and rents. There is a projected overspend of £0.2m for Leasing and Service charges in relation to Harrow Depot for Street Scene, Highways and Salt Barns. There is a projected overspend of £0.5m in relation to Document Solutions mark-up costs where the income target of £770k is unachievable. The income target is unachievable due to the reduction in printing and more agile working. There is a £0.4m overspend due to a miscalculation during budget realignment relating to Barnet Group SLA income.
- 2.20 CSG Management Fee is forecasting an overspend of £0.386m. This is partly due to a delay in implementing the new Customer Services model of £0.235m. Delays in the move to Colindale and the website launch have impacted the ability to reduce resources earlier. The underachievement of saving is expected to be £0.235m; the service is reviewing options to plug this gap including not backfilling posts. £0.06m of the overspend is due to delays in implementation telephony shut down and the balance is due to unachievable service credit accruals and Barnet House SLA income accruals.
- 2.21 Trade Union activities are forecast to overspend by £0.142m due to staff recharges for time spent on Trade Union activities. The TU budget is only £33k and recharges of £176k are being projected for five members of staff from Adults, Schools and Libraries.

- 2.22 **Housing Strategy** is forecasting an overspend of £0.9m due to Temporary Accommodation Acquisition and Transfer savings not expected to be fully delivered in 2019/20. This will be fully mitigated by the transfer of Flexible Homelessness Support Grant to fund Homelessness Prevention. The transfer of this funding will go to P&R Committee for approval in October 2019.
- 2.23 The revenue budget for **Finance** is forecasting an underspend of £1.936m.
- 2.24 There is a forecast underspend on **Central Expenses** of £0.236m. **Capital Financing** is forecasting an overspend of £0.160m due to £0.897m interest payable and bank charges, £0.020m debt management expenses partially offset by an underspend of £0.757mk on MRP. Interest payable is forecasting an overspend as the assumed speed of borrowing is higher than anticipated in the budget but this is expected to come back in line due to capital slippage.
- 2.25 **Revenues & Benefits** are forecasting an underspend of £1.7m. £0.8m of this is due to over achievement on Housing Benefits overpayment recovery and £0.9m relates to Flexible Homelessness Support Grant to fund Homelessness Prevention which will be transferred to Housing following P&R Committee approval in October 2019.
- 2.26 For **Re Managed Budgets**, the forecasted outturn variance is a break-even position, with a saving on expenditure being offset by an underachievement of income.

#### **Housing Revenue Account (HRA)**

- 2.27 The Housing Revenue Account (HRA) has a budgeted contribution from balances of **£10.712m** in 2019/20. The forecast for the year as at 31 June 2019 is a deficit of **£2.371m**, thus there is a forecast balance of **£9.951m** as at 31 March 2020.

**Table 2: Housing Revenue Account (Q1 2019/20) forecast**

	Budget £000	Q1 Forecast £000	Variance from Budget Adv/(Fav) £000
Dwelling rents	(48,634)	(49,166)	(532)
Service and other charges	(8,897)	(8,628)	269
Housing management	20,473	21,391	918
Repairs and maintenance	7,570	7,559	(11)
Provision for bad debts	250	250	0
Regeneration	837	926	89
Capital charges	30,134	30,134	0
Revenue Contribution to Capital	9,074	0	(9,074)
Interest on balances	(95)	(95)	0
<b>Total</b>	<b>10,712</b>	<b>2,371</b>	<b>(8,341)</b>

- 2.28 The main reason for the variance from budget of £8.341m is that the budget for Revenue Contribution to Capital is no longer required, as capital will be funded from

other sources of finance such as borrowing and is the major part of this variance. Other reasons for the variance are set out below.

- 2.29 **Income** – Dwelling rents are projected to over achieve by £0.532m compared with the revised budget. This is mainly due to the partial benefit of the additional week of rental income in 2019/20. Service and other charges are currently projected to under achieve by £0.269m. This relates to two areas of variance, being garage and commercial rental income. Garages income is forecasting £0.184m underachievement due to a higher level of voids and a longer time to re-let after they become void. Commercial rents is forecasting £0.145m underachievement partly due to voids on regeneration estates.
- 2.30 **Expenditure** – Housing Management costs are forecast to overspend by £0.918m mainly due to higher insurance premiums based on 2018/19 (£0.578m), additional payments for disturbance and wardens (£0.161m) and a head lease extension (£0.150m).
- 2.31 The repairs and maintenance budget of £7.570m relates to the management fee paid to Barnet Homes for the repair and maintenance of housing stock.
- 2.32 The Housing regeneration forecast shows a net overspend of £0.89m due to costs being recovered from developers on a number of regeneration schemes at Dollis Valley, Grahame Park, West Hendon and Granville Road and additional management fee costs.

#### **Dedicated Schools Grant (DSG)**

- 2.33 The Dedicated Schools Grant (DSG) has pressures within the High Needs Block circa £1m however the 2018/19 carry forward (£1.5m) will offset these. At this early stage it has been assumed the DSG will be fully spent in 2019/20.
- 2.34 DSG High Needs funding has not kept up with inflation or the rate of demographic growth in recent years, whereas demand, driven by a mixture of demographic change, the growing complexity of needs and the new framework created by the SEN reforms, has grown significantly. Local authorities across England are facing similar problems and many are known to have faced significant overspending on their High Needs budgets.

**Table 4: Dedicated Schools Grant (Q1 2019/20)**

Service	Revised Budget £000	Q1 19/20 Forecast £000	Variance from Revised Budget Adv/(fav) £000	Reserve Movements £000	Q1 19/20 Forecast after Reserve Movements £000	Variance after Reserve Movements Adv/(fav) budget £000
<b>Schools</b>						
Individual Schools Budget	142,028	142,028	0	0	142,028	0
Growth Fund	1,536	1,536	0	0	1,536	0
Central schools expenditure	1,281	1,281	0	0	1,281	0

Service	Revised Budget £000	Q1 19/20 Forecast £000	Variance from Revised Budget Adv/(fav) £000	Reserve Movements £000	Q1 19/20 Forecast after Reserve Movements £000	Variance after Reserve Movements Adv/(fav) budget £000
ESG retained funding	897	897	0	0	897	0
<b>Sub-total</b>	<b>145,742</b>	<b>145,742</b>	<b>0</b>	<b>0</b>	<b>145,742</b>	<b>0</b>
Early Years Block	29,051	29,051	0	0	29,051	0
High Needs Block	46,653	46,653	0	0	46,653	0
<b>Sub-total</b>	<b>221,446</b>	<b>221,446</b>	<b>0</b>	<b>0</b>	<b>221,446</b>	<b>0</b>
DSG Income	(219,903)	(219,903)	0	0	(219,903)	0
DSG c/f	(1,543)	(1,543)	0	0	(1,543)	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

### Capital Programme

2.35 The forecast for the 2019/20 Capital Programme is **£490.152m**, which is a spend reduction of £130.209m (21%) compared with the budget. The General Fund programme has an underspend of £67.621m against a budget of £525.601m (12.9%). The HRA has an underspend of £62.588m against a revised budget of £94.76m (66.0%).

**Table 5: Capital forecast (Q1 2019/20)**

Service	2019/20 Revised Budget £000	Additions/ (Deletions) £000	(Slippage) / Accelerated Spend £000	2019/20 Period 3 £000	Variance from Budget £000	Variance from Budget %
Adults and Health	14,679	0	(650)	14,029	(650)	-4.4%
Children's Family Services	49,430	46	8,211	41,173	(8,257)	-16.7%
Growth and Corporate services	142,538	637	(49,405)	93,770	(48,768)	-34.2%
Environment	33,556	690	(4,925)	29,321	(4,235)	-12.6%
Regional Enterprise (Re)	285,398	(13)	(5,698)	279,687	(5,711)	-2.0%
<b>General Fund Programme Total</b>	<b>525,601</b>	<b>1,268</b>	<b>(68,889)</b>	<b>457,980</b>	<b>(67,621)</b>	<b>-12.9%</b>
HRA (Barnet Homes)	94,760	0	(62,588)	32,172	(62,588)	-66.0%
<b>Grand Total</b>	<b>620,361</b>	<b>1,268</b>	<b>(131,477)</b>	<b>490,152</b>	<b>(130,209)</b>	<b>-21.0%</b>

2.36 The service areas are forecasting net slippage overall as at Period 3 (Q1), the principal variances from budget are as follows:

2.37 **Adults and Communities** are forecasting slippage of £0.650m on Copthall.



- 2.38 **Children’s Family Services** slippages include: Alternative Provision £6.2m and Meadow Close Children’s Home £1m with some mainly retention and other smaller slippages making up the difference.
- 2.39 The Housing General Fund (Tackling Homelessness) capital programme is showing slippage of £48.452m. This is largely due to two schemes being delivered by Open Door Homes. The phasing of the delivery of these programmes are being reviewed. This is the significant part of the change in **Growth and Corporate Services**.
- 2.40 The main areas of slippage reported for **Environment** at Q1 are Carriageways, with slippage of £1.018m and LED Lighting with slippage of £2.100m.
- 2.41 **Development & Regulatory Services (including Re)**. The Re (Regeneration) capital programme is forecasting a reduction in the programme by £0.13m as this scheme is now completed and an overall net slippage of £5.698m across the programmes. This slippage includes: The Colindale – Highways and Transport £2.762m slippage is dependent on the completion of Colindale Station; Grahame Park Community Facilities £1.973m slippage results from a new programme having to be developed; Town Centre £2.263m slippage is the result of re-profiling to tailor resources to support the project. Colindale Station Works £1.300m acceleration reflects payments expected to be made in line with the funding agreement and award of contract.
- 2.42 **HRA** - The most significant movements relate to slippage in the extra care pipeline £33.789m following delays in purchasing properties and the commencement of the tender process, delays in the HRA fire safety programme (£11.509m) due to consultation requirements, completion of property purchases relating to Dollis Valley in 2020/21 (£6.589m) and tendering of the contract for Burnt Oak Broadway Flats (£4.521m). The advanced acquisitions programme will be completed following the final property acquisition (£4.473m).

### 3. SAVINGS

- 3.1 In 2019/20 the council budgeted to deliver £20.702m of savings. Table 6 summarises by Theme Committee the value of savings that are expected to be achieved against the savings programme. In total, £19.201m of savings is expected to be delivered by year end, representing 88% of the target. Delivery of these savings is included in the forecasts reported in table 1. Commentary on the delivery of savings is included within the explanation of variance from budget.

**Table 6: Savings (Q1 2019/20)**

Service	19/20 MTFS Savings Target £000	Savings Achieved / Expected to be Achieved £000	Savings Unachiev-able £000	Savings Expected to be Achieved %
Adults and Health	(7,213)	(7,213)	0	100
Assurance	(21)	(5)	-16	24
Children’s Family Services	(3,912)	(3,912)	0	100
Growth and Corporate Services	(4,604)	(3,479)	-1,125	76
Environment	(4,930)	(3,570)	-1,360	72



Service	19/20 MTFS Savings Target £000	Savings Achieved / Expected to be Achieved £000	Savings Unachiev-able £000	Savings Expected to be Achieved %
Finance	(22)	(22)	0	100
Regional Enterprise (Re)	0	0	0	0
<b>Total</b>	<b>(20,702)</b>	<b>(18,201)</b>	<b>-2,501</b>	<b>88</b>

#### 4. STAFFING

4.1 There were 1800 staff in established posts (1474 FTEs) and 337 agency staff (186 agency FTE) in June 2019 (see table 7). Spend on agency staff was £3.2m in Q1 (see table 8).

4.2 A range of health and wellbeing initiatives has helped to reduce sickness absence, to 7.33 days in June 2019 (see table 9).

**Table 7: LBB Establishment and Agency (June 2019)**

Service	Establishment <sup>1</sup>		Agency <sup>2</sup>	
	Headcount	FTE	Headcount	FTE
Adults and Health	347	312	25	15
Assurance	97	94	1	1
Children's Services	673	477	126	72
Commissioning Group	12	10	0	0
Education and Skills	13	7	NK	NK
Environment (incl. Street Scene)	532	457	159	86
Finance	50	47	15	8
Growth and Corporate Services	76	70	11	5
<b>Overall</b>	<b>1800</b>	<b>1474</b>	<b>337</b>	<b>186</b>

**Table 8: Expenditure on Agency Staff (Q1 2019/20)**

Service	Q1 18/19 £000	Q1 19/20 £000	Change %	18/19 Full Year Actual £000	19/20 Full Year Forecast* £000
Adults and Health	683	178	-74%	1,827	476
Assurance	0	14	0	15	56
Children's Service DSG	25	0	-100%	0	0
Children's Family Services	2,768	1440	-48%	9,512	4,948
Growth and Corporate Services	246	409	66%	795	1,322
Environment	665	820	23%	2,831	3,491
Finance	40	234	485%	136	796

<sup>1</sup> Source: HR Establishment Pack

<sup>2</sup> Source: Agency data extracted from Matrix 10 days after the end of the month. The figures exclude agency staff outside of Matrix and non-active agency staff e.g. not paid or contract ended on Matrix.

Service	Q1 18/19 £000	Q1 19/20 £000	Change %	18/19 Full Year Actual £000	19/20 Full Year Forecast* £000
HRA	0	88	0	1	352
Capital	402	42	-90%	973	168
<b>Total</b>	<b>4,829</b>	<b>3,225</b>	<b>-33%</b>	<b>16,090</b>	<b>11,609</b>

\*For comparison only - simple extrapolation from June based on 18/19 results

**Table 9: Sickness Absence (June 2019)**

Service	Average days lost per FTE (rolling 12 months) <sup>3</sup>		
	Jun-19	Long-term absence	Short-term absence
Adults and Communities	6.42	4.44	1.98
Assurance	3.96	0.00	3.96
Environmental Services	1.16	0.00	1.16
Family Services	7.19	4.64	2.55
Finance	1.04	0.00	1.04
Growth and Corporate Services	1.28	0.00	1.28
Street Scene	11.77	8.22	3.55
<b>Overall</b>	<b>7.33</b>	<b>4.93</b>	<b>2.40</b>

<sup>3</sup> Source: HR Dashboard (average over rolling 12 months)

## 5. CORPORATE PRIORITIES

5.1 The remainder of the report is structured by Theme Committee and **corporate priorities**. The **corporate priorities** are focused on achieving one of the three Corporate Plan (Barnet 2024) outcomes:

- A pleasant, well maintained borough that we protect and invest in (PLACE)
- Our residents live happy, healthy, independent lives with the most vulnerable protected (PEOPLE)
- Safe and strong communities where people get along well (COMMUNITY)

5.2 Each section provides:

- A summary of progress on Actions<sup>4</sup> to deliver the priority
- Performance of Key Performance Indicators (KPIs)<sup>5</sup>
- Risks to delivering the Actions and priority
- High (15 to 25) level risks from the Corporate Risk Register<sup>6</sup>
- Any escalations from Theme Committees where KPIs have not met target and/or high (15 to 25) level risks for a committee priority.

5.3 The Q1 performance for each of the **corporate priorities** is shown in table 10. This reflects the *overall performance on Actions, KPIs and Risks*<sup>7</sup> for each priority. There are three corporate priorities that fall under the remit of a Theme Committee and the Health and Wellbeing Board. These are highlighted in blue in the table.

**Table 10: Corporate priorities and outcomes by Theme Committee**

Theme Committee	Section	Corporate Priority	Outcome	Q1 Overall Performance
Assets, Regeneration and Growth	6.	Responsible delivery of major regeneration schemes	PLACE	Good
		Investing in community facilities	PLACE	Satisfactory
		Helping people into work and better paid employment	PEOPLE	Satisfactory
		Supporting local businesses to thrive	COMMUNITY	Good

<sup>4</sup> A Summary of the Actions is provided for each priority. These are RAG rated as follows: Complete or Good progress = GREEN (where no Actions RAG rated RED); Satisfactory progress = AMBER (where no more than one Action RAG rated RED) or Limited progress = RED (where two or more Actions RAG rated RED).

<sup>5</sup> KPI RAG rating reflects the percentage variance of the result against the target as follows: On target = GREEN (G); Up to 9.9% off target = AMBER (A); 10% or more off target = RED (R). The Direction of Travel (DOT) status shows the percentage variation in the result since last year e.g. Improving (↑ I), Worsening (↓ W) or Same (→ S). The percentage variation is calculated as follows: Q1 19/20 result minus Q1 18/19 result equals difference; then difference divided by Q1 18/19 result multiplied by 100 = percentage variation. Any results not for Q1 19/20 are illustrated by (s) snapshot at end of year or (r) rolling 12 months.

<sup>6</sup> The Corporate Risk Register includes strategic risks (strategic and business critical risks) and high (15 to 25) service/joint risks (service and contract delivery risks). All risks are managed in line with the council's risk management framework. The risk registers are live documents and the Q1 19/20 Corporate Risk Register provides a snapshot in time (as at end June 2019). The risk ratings are: Low = 1 to 3 (GREEN); Medium/Low = 4 to 6 (YELLOW); Medium/High = 8 to 12 (AMBER); and High = 15 to 25 (RED).

<sup>7</sup> The Overall Performance reflects Actions, KPIs and Risks as follows: Complete or Good progress = GREEN (where no Actions or KPIs RAG rated RED and no more than one high level risk); Satisfactory progress = AMBER (where no more than one Action or KPIs RAG rated RED and/or no more than two high level risks) or Limited progress = RED (where two or more Actions or KPIs RAG rated RED and/or more than two high level risks).

Theme Committee	Section	Corporate Priority	Outcome	Q1 Overall Performance
Housing	7.	Ensuring decent quality housing	PLACE	Satisfactory
Environment	8.	Getting Barnet clean	PLACE	Satisfactory
		Keeping the borough moving	PLACE	Satisfactory
		Getting the best out of parks and improving air quality	PLACE	Good
Adults and Safeguarding	9.	Integrating health and social care and providing support for those with mental health problems and complex needs	PEOPLE	Satisfactory
		Supporting older and vulnerable residents and those with disabilities to remain independent	PEOPLE	Good
		Encouraging residents to lead active and healthy lifestyles and maintain mental wellbeing	PEOPLE	Good
Children, Education and Safeguarding	10.	Improving services for children and young people	PEOPLE	
		Ensuring good schools and enough school places	PEOPLE	
		Ensuring we are a family friendly borough	COMMUNITY	
Health and Wellbeing Board	11.	Integrating health and social care and providing support for those with mental health problems and complex needs	PEOPLE	Good
		Encouraging residents to lead active and healthy lifestyles and maintain mental wellbeing	PEOPLE	Good
		Improving services for children and young people	PEOPLE	Good
Community Leadership and Libraries	12.	Keeping Barnet safe	COMMUNITY	Satisfactory
		Tackling anti-social behaviour and environmental crime	COMMUNITY	Satisfactory

Theme Committee	Section	Corporate Priority	Outcome	Q1 Overall Performance
		Celebrating diverse and strong communities and taking a zero-tolerance approach to hate crime	COMMUNITY	Good
		Focusing on the strengths of the community	COMMUNITY	Satisfactory

- 5.4 In addition to the corporate priorities, P&R Committee has **six committee priorities, which were set out in the P&R Committee Annual Delivery Plan.** This was approved on 20 February 2019 and can be found online at:  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=9461&Ver=4>
- 5.5 An update on these **committee priorities** is provided in **Appendix C.** Escalations in relation to the committee priorities, where KPIs have not met target and/or high (15 to 25) level risks, are reported in Section 13.

## 6. ASSETS, REGENERATION AND GROWTH (ARG) COMMITTEE

6.1 The **ARG Committee Annual Delivery Plan** sets out the Actions, KPIs and Risks to delivering the **corporate priorities** in the Corporate Plan (Barnet 2024). It was approved on 25 March 2019 and can be found online at:

<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=696&Mid=9484&Ver=4>

6.2 There are four **corporate priorities** that fall under the remit of ARG Committee. These are set out below. The Q1 performance reflects the *overall performance on Actions, KPIs and Risks* for each priority.

Corporate Priority	Outcome	Q1 Overall Performance
Responsible delivery of major regeneration schemes	PLACE	Good
Investing in community facilities	PLACE	Satisfactory
Helping people into work and better paid employment	PEOPLE	Satisfactory
Supporting local businesses to thrive	COMMUNITY	Good

Responsible delivery of major regeneration schemes	Q1 Overall Performance
	Good

### 6.3 Summary of Actions Good progress

6.3.1 The draft Growth Strategy was approved for consultation by ARG Committee on 13 June 2019 and the final version will be submitted in November 2019.

6.3.2 Progress has been made across the regeneration programme. Highlights include the approval of the Outline Business Case for Upper and Lower Fosters by ARG Committee on 13 June 2019 and submission of the planning application in May 2019. Phase 3b of the regeneration scheme at West Hendon completed in June 2019. This has delivered 207 homes, of which 101 are affordable.

6.3.3 Q1 saw another big step forward for the Brent Cross Cricklewood programme, with the Infrastructure Re-phasing application and update to the Indicative Construction Programme approved at Planning Committee on 24 June 2019. This approval creates a separate phase within the wider planning permission that allows the council and Brent Cross South to proceed ahead of the Brent Cross North development. Physical works on the Brent Cross Thameslink programme have progressed with delivery of the pre-fabricated facility buildings for the Train Operating Company (TOC) successfully completed despite challenging weather conditions. The procurement of the Brent Cross West station contractor has progressed and the initial tender submissions have been evaluated. The final stages of negotiation with the three preferred bidders is proceeding.

### 6.4 KPIs

6.4.1 There is one KPI for this priority, which monitors delivery of the regeneration programme. This has achieved target for Q1, with one milestone being delivered earlier than expected.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Delivery of regeneration projects	Bigger is Better	90%	90%	90%	117% (G)	↑ I +17%	100%	No benchmark available

## 6.5 Risks

6.5.1 There are two risks to delivery of the actions for this priority. Both have been assessed at a medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **G&CS029 - Community facilities stakeholder relationship schemes (risk score 9).** Stakeholder engagement plans are being developed to mitigate the risk of opposition to regeneration schemes which could result in delays.
- **G&CS030 - Market conditions (risk score 12).** Market conditions are being regularly monitored to mitigate the risk of impact on the viability of regeneration schemes and delays to housing delivery should market uncertainty grow.

6.5.2 In addition to the risks in the Annual Delivery Plan, there was a *strategic risk* for this priority that was scored at a high (15 to 25) level in Q1.

- **STR08 - Major regeneration schemes (risk score 15).** This was a new risk, identified as part of the refresh of the strategic risk register in June 2019, and relates to the potential failure to effectively manage the major regeneration schemes such as Brent Cross. Governance arrangements and controls are in place to regularly review the viability and delivery of the regeneration schemes.

Investing in community facilities	Q1 Overall Performance
	Satisfactory

## 6.6 Summary of Actions Satisfactory progress

6.6.1 As above, the draft Growth Strategy was approved for consultation by ARG Committee on 13 June 2019 and the final version will be submitted in November 2019. The strategy encompasses infrastructure, including community facilities, to support new housing developments. Community facilities will be delivered on a scheme by scheme basis, as part of the regeneration programme. Development of the council's Infrastructure Delivery Plan is also underway.

6.6.2 An engagement plan is being developed in partnership with Argent Related for the delivery of schools, community facilities, leisure and improved parks as part of the Brent Cross South business plan.

## 6.7 KPIs

6.7.1 There are no KPIs for this priority.

## 6.8 Risks

6.8.1 There are two risks to delivery of the actions for this priority. These have been assessed at a medium/low (4 to 6) and medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **G&CS027 - Community facility sustainability (risk score 9).** This risk is about the long-term financial viability of newly constructed community facilities. Proposals are marked against the council's project management toolkit and any actions taken are determined on a case by case basis.
- **G&CS028 – Community facilities stakeholder relationship (risk score 6).** This risk is also about the long-term financial viability of newly constructed community facilities. Engagement plans are being developed for each scheme to ensure communities are engaged throughout the lifetime of the schemes.

Helping people into work and better paid employment	Q1
	Overall Performance Satisfactory

## 6.9 Summary of Actions **Satisfactory progress**

- 6.9.1 Active employment schemes have continued to support residents to find work on Barnet's regeneration estates, including Dollis Valley, West Hendon and Grahame Park.
- 6.9.2 Progress has been made to reduce levels of NEET (Not in Education, Employment or Training) and ensure Barnet's residents have access to employment and training.
- 6.9.3 The council is working to develop a new project with Cambridge Education to offer 'Access for All' routes into construction and funding for the project has been confirmed.
- 6.9.4 Work has continued with development partners to secure apprenticeships and training opportunities through development. These include preparatory work for the Brent Cross Cricklewood programme employment and skills delivery.
- 6.9.5 Employment and training support was provided to council tenants by Barnet Homes through the Community Engagement and Floating Support services. In Q1, four people were helped into work.
- 6.9.6 Barnet Homes also leads on managing BOOST, which provides community-based help for Barnet residents from bases at Burnt Oak Library and 184 Cricklewood Lane or via outreach at libraries. In Q1, the service supported 52 people into work (14 of whom were under 25).
- 6.9.7 The Welfare Reform Task Force led by Barnet Homes engages with residents and provides support to help them manage the Benefit Cap and transition to Universal Credit. In Q1, 54 clients moved off the Benefit Cap as a result of finding work.
- 6.9.8 More detailed actions will be agreed by ARG Committee in November 2019, as part of the Growth Strategy Delivery Plan, to help people into work and better paid employment.

## 6.10 KPIs

- 6.10.1 There is one KPI for this priority, which monitors the local unemployment rate. The latest figures show Barnet's unemployment rate at 4.8%, which is higher than last year (4.3%). Barnet's figure is lower than the London average (4.9%) but higher than the national average (4.1%).



Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Unemployment (of people on out of work benefits) (r)	Smaller is Better	4.7% (Jan - Dec 18)	Monitor	Monitor	4.8% <sup>8</sup>	↓ W +11%	4.3% <sup>9</sup>	London 4.9%, National 4.1% (Apr 18 – Mar 19, NOMIS)

## 6.11 Risks

6.11.1 There are two risks to delivery of the actions for this priority. Both have been assessed at a medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **G&CS031 - Team resource/capacity to deliver employment schemes (risk score 9).** To manage the risk to employment schemes from a lack of resources, residents' needs are being prioritised to ensure that those furthest from employment remain the focus of scarce resources.
- **G&CS032 - Economic uncertainty impact on training and apprenticeship (risk score 12).** To manage the risk to training and apprenticeship opportunities from an economic downturn, discussions have taken place with Argent Related regarding resources for employment and skills co-ordination on the Brent Cross development, as well as other employment opportunities such as the BOOST project.

Supporting local businesses to thrive	Q1 Overall Performance
	Good

## 6.12 Summary of Actions Good progress

- 6.12.1 Local businesses have continued to be supported through construction contracts that form part of the regeneration programmes, with specific activities targeted at Brent Cross.
- 6.12.2 To support the sustainability of town centres and improvements to the public realm, the council has continued to offer support to the established Town Teams in main town centres: Chipping Barnet, Edgware and Cricklewood. In addition, the council has maintained support for Chipping Barnet pavement build-out to improve the public realm; continued the revitalisation of North Finchley through the development programme; and is progressing improvements at West Hendon Broadway.
- 6.12.3 The Colindale Business Engagement project supported the council's move to the area, with a 'Welcome to Colindale' flyer shared with all staff which showcased over 30 local businesses.
- 6.12.4 To facilitate the provision of appropriate and affordable workspace for small and micro businesses, the council is identifying suitable assets for workspace and is seeking to influence development to bring forward additional capacity.

<sup>8</sup> Rolling 12 months to March 2019.

<sup>9</sup> Rolling 12 months to March 2018.

6.12.5 Actions to deliver specialist support to entrepreneurs and business start-ups are on track for November 2019, and form part of a three-year programme of business school support.

### 6.13 KPIs

6.13.1 There are two KPIs for this priority, which monitor the health of the local economy through the business survival rate and vacant high street properties. These are both annual indicators and will be reported in Q4.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Business survival rate (Annual)	Bigger is Better	63.6% (-3.0%pts <sup>10</sup> (R))	5%pts more than comparable boroughs	5%pts more than comparable boroughs	Due Q4 19/20	N/A	Annual	Comparable boroughs 73.7% (-1.5%pts) (2018, ONS)
Vacant High Street Properties (Annual)	Smaller is Better	5.9% (-7.5%pts <sup>11</sup> (A))	2.5%pts more than comparable boroughs	2.5%pts more than comparable boroughs	Due Q4 19/20	N/A	Annual	Comparable boroughs 6.8% (-5.9%pts) (2018, Experian)

### 6.14 Risks

6.14.1 There are three risks to delivery of the actions for this priority. These have been assessed at a low (1 to 3); medium/low (4 to 6) and medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **G&CS044 - Colindale business engagement (risk score 6).** The risk on planned business engagement from a delay in the council's office move to Colindale has not materialised and will be closed in Q2.
- **G&C033 – Flexible workspace delivery (risk score 12).** To manage the risk of delay to the delivery of business, enterprise and employment schemes suitable workspace not be identified for the Business, Employment and Skills team, work has been ongoing with the Estates team to identify workspace sites and locations.
- **G&CS034 – Co-ordinating business support activities (risk score 2).** To minimise the risk of delay to business support activities due to ineffective engagement of partners, an officer will be focused on partner engagement.

<sup>10</sup> 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 73.7% represents a 1.5%pts decline on their 2011 baseline position (75.2%). Barnet's business survival rate of 63.6% represents a 3.0%pts decline on its 2011 baseline (66.6%). The target was for Barnet to be 5%pts better than the comparable boroughs %pts position (2011 to 2018), so Barnet needed to achieve a 3.5%pts increase of the 2011 baseline – the equivalent of 69.5% business survival rate in 2018.

<sup>11</sup> 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 6.8% represents a 5.9%pts improvement on the 2011 baseline position (12.6%). Barnet's vacancy rate of 5.9% represents a 7.5%pts improvement on its 2011 baseline (13.3%). The target was for Barnet to be 2.5%pts better than the comparable boroughs %pts position (2011 to 2018), so Barnet needed to achieve an 8.4%pts decrease on the 2011 baseline – the equivalent of 4.9% vacancy rate in 2018.

**6.15 Escalated KPIs and/or Risks**

6.15.1 There were no escalations in relation to ARG Committee priorities.

## 7. HOUSING COMMITTEE

- 7.1 The **Housing Committee Annual Delivery Plan** sets out the Actions, KPIs and Risks to delivering the corporate priorities in the Corporate Plan (Barnet 2024). It was approved on 14 January 2019 and can be found online at: <https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=699&Mid=9488&Ver=4>
- 7.2 There is one **corporate priority** that falls under the remit of Housing Committee. This is set out below. The Q1 performance reflects the *overall performance on Actions, KPIs and Risks* for each priority.

Corporate Priority	Outcome	Q1 Overall Performance
Ensuring decent quality housing	PLACE	Satisfactory

Ensuring decent quality housing	Q1 Overall Performance
	Satisfactory

### 7.3 Summary of Actions **Satisfactory progress**

- 7.3.1 The Planning team has progressed a number of schemes across the borough that will see delivery of over 5000 new homes, including 1340 at Transport for London (TfL) sites around tube stations, 2000 at Grahame Park and 1200 in Cricklewood.
- 7.3.2 The initial tranche of 320 new affordable homes for rent to be delivered by Opendoor Homes (ODH) has progressed, with 227 homes on site and a further 37 homes completed. A further 56 homes are awaiting either planning consent or ODH Board approval. 25 homes are expected to be completed during 2019/20, of which four will be in Q1.
- 7.3.3 Funding has been made available to The Barnet Group to progress plans to deliver 87 new council homes for rent, supported by funding from the Greater London Authority (GLA), and initial capacity and feasibility studies are underway for the delivery of a further 89 homes.
- 7.3.4 Officers are preparing a detailed business case for the transfer of some council properties to ODH, which will support the delivery of additional homes by ODH by creating additional borrowing capacity.

### 7.4 KPIs

- 7.4.1 There are three KPIs for this priority, which monitor the delivery of new homes in the borough. 328 new homes were completed in Q1. This is significantly more than last year when 65 new homes were completed. 165 affordable homes were completed across the borough by all providers (not just ODH) in Q1.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
New homes completed across the borough by all providers <sup>12</sup>	Bigger is Better	830 <sup>13</sup> (prov.)	Monitor	Monitor	328	↑   +405%	65	No benchmark available
Affordable housing completions across the borough by all providers	Bigger is Better	211 <sup>14</sup> (prov.)	Monitor	Monitor	165	↑   +1550%	10	No benchmark available
Affordable housing delivered on council owned land	Bigger is Better	New for 19/20	35 <sup>15</sup>	6	4	New for 19/20	New for 19/20	No benchmark available

## 7.5 Risks

7.5.1 There is one risk to delivery of the actions for this priority. This has been assessed at a medium/high (8 to 12) level and has controls/mitigations in place to manage the risk.

- **G&CS038 - Economic uncertainty impacting on the delivery of new homes (risk score 12).** To manage the risk of landowners with planning permission not bringing forward developments due to economic uncertainty, a Growth Strategy has been adopted setting out the council's priorities for bringing housing development forward. This will also act as a tool for inward investment, which could help stimulate development if the economy stagnates. A new Local Plan is being prepared to promote growth in key areas and provide a viable policy framework to ensure appropriate Community Infrastructure Levy and Section 106 charges.

## Escalations from Housing Committee

### 7.6 Escalated KPIs and/or Risks

7.6.1 In addition to the corporate priority, the **Housing Committee Annual Delivery Plan** has four **committee priorities**. A thematic overview of performance for Q1 was provided to Housing Committee in October 2019. Any KPIs that have not met target and/or high (15 to 25) level risks are escalated for review by P&R Committee.

7.6.2 Implementation of the £52million fire safety investment programme is a key Action under the **Safe and secure homes** priority. Good progress was made on the programme in Q1, including the categorisation of "high priority" works on the Silk & Shoelands and Grahame Park estates, surveying and design works for sprinkler and alarm system installations at four blocks on the Belle Vue and Norfolk/Prospect estates and enhanced Fire Risk Assessments (FRAs) at medium and low-rise blocks across the borough. Work continued to identify suitable replacement options for defective flat front entrance fire doors and the surveying of blocks that are constructed using the "large panel system" type to determine their structural integrity. In addition, Barnet Homes completed updated FRAs of all blocks with defective flat front entrance fire doors, which

<sup>12</sup> This KPI measures all new homes in the borough (including as part of regeneration schemes and private development schemes).

<sup>13</sup> This is a provisional result (830) as at March 2019. The result is sourced internally and relates to the number of new homes added to council tax records. The final result will be confirmed in 2019/20.

<sup>14</sup> This is a provisional result (211) as at March 2019. The result is sourced from GLA data releases. The final result will be confirmed in 2019/20.

<sup>15</sup> The target for the KPI has been amended from 77 to 35 following publication of the Housing Delivery Plan to Housing Committee.

stipulate target timescales within which the doors should be replaced, and subsequently timescales for the replacement programme.

7.6.3 There are seven KPIs for the **Tackling and preventing homelessness and rough sleeping** priority. Four KPIs met the Q1 target – on acquisition of additional properties for temporary accommodation; households in emergency temporary accommodation; households placed into private sector accommodation; and homelessness preventions. One KPI is Monitor only and reported 32 rough sleepers. One KPI did not meet the Q1 target.

- **Households in Temporary Accommodation (RAG rated AMBER) – 2579 against a target of 2500.** There was a 1% reduction in households in TA from Q1 last year (2608), but a 1% increase on Q4 (2545). The main factor contributing to this increase was new household admissions into TA.

Indicator <sup>16</sup>	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Households in Temporary Accommodation (r)	Smaller is Better	2545	2400	2500	2579 (A)	↑   -1%	2608	Rank 29 (out of 32) (Q4 17/18, DCLG)

7.6.4 There was a *service risk* and *joint risk (with TBG)* for the **Tackling and preventing homelessness and rough sleeping** priority that were scored at a high (15 to 25) level in Q1.

- **G&C043 - Housing Revenue Account plan viability (risk score 15).** External pressures on the Housing Revenue Account (HRA) could result in an inability to meet statutory responsibilities for managing and maintaining the stock and reduction in service which could have an impact on residents and require further savings and efficiencies. Following the approval to transfer 175 General Fund acquisitions delivering an expected budget saving of £822k at Policy and Resources Committee on 20 February 2019, there have been delays in realising the savings due to the MRP (minimum revenue provision). Housing Strategy Officers are liaising with Finance colleagues to resolve this. There is a high likelihood the savings initially envisaged will not be realised.
- **TBG003 - Increase in demand for homelessness services (risk score 15 – increased from 12).** Increasing costs and demand for homelessness services could lead to increased temporary accommodation costs and additional pressure on the Housing General Fund. The risk has increased as the Homelessness General Fund budget outturn had a deficit for 2018/19. The plan to transfer council housing stock to Open Door homes was put on hold subject to resolution of the MRP (Minimum Revenue Provision), which has prevented expected savings from being realised.

<sup>16</sup> Transfer 141 properties acquired for Temporary Accommodation to Opendoor Homes has been changed from a KPI to an Action.

## 8. ENVIRONMENT COMMITTEE

8.1 The **Environment Committee Annual Delivery Plan** sets out the Actions, KPIs and Risks to delivering the corporate priorities in the Corporate Plan (Barnet 2024). It was approved on 14 March 2019 and can be found online at:

<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=695&MId=9669&Ver=4>

8.2 There are three **corporate priorities** that fall under the remit of Environment Committee. These are set out below. The Q1 performance reflects the *overall performance on Actions, KPIs and Risks* for each priority.

Corporate Priority	Outcome	Q1 Overall Performance
Getting Barnet clean	PLACE	Limited
Keeping the borough moving	PLACE	Limited
Getting the best out of parks and improving air quality	PLACE	Good

Getting Barnet clean	Q1 Overall Performance
	Limited

### 8.1 Summary of Actions **Limited progress**

8.1.1 Progress was made against most actions; however, capacity issues arising from competing priorities hindered this. Further work will need to be scheduled with services such as Planning to move some actions forward.

8.1.2 The website was updated and a communications plan implemented to support residents on waste reduction and recycling, with information linked to regional and national campaigns such as Recycle for London and Love Food Hate Waste. A campaign is being prepared to target 15,000 flats managed by Barnet Homes in August 2019.

8.1.3 A Feasibility Study to identify options for better waste reduction and recycling at privately managed sites was carried out, including an assessment of bin capacity and the level of re-balancing required to support recycling.

8.1.4 Additional funding was allocated for street cleansing improvements and options on how to use this funding, focusing on key areas such as residential roads, town centres and trunk roads, were agreed at Environment Committee on 4 June 2019.

8.1.5 To tidy up town centres, time banded collections were implemented in Mill Hill (July 2018) and Burnt Oak (May 2019). A schedule for further time banded collections is being developed. Work is being carried out to determine the number, type and location of litter bins across the borough. Bins in poor condition or under-utilised are being removed.

### 8.2 KPIs

8.2.1 There are seven KPIs for this priority, which monitor waste, recycling and street cleansing activity. One KPI met the Q1 target. One KPI did not meet the Q1 target. Five KPIs were not reported in Q1.



- **Kilogram of residual household waste produced per household (RAG rated AMBER) – 154.1kg/HH against a target of 152.9kg/HH.** The amount of residual waste collected from households remains high. A communications plan has been implemented to support residents on waste reduction and recycling, with information linked to regional and national campaigns such as Recycle for London and Love Food Hate Waste.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Kilogram of residual HH waste produced per household	Smaller is Better	617.2	612 kg/HH	152.9 kg/HH	154.1 kg/HH (A)	↑   -3%	158.8 kg/HH	No benchmark available
Kilogram of total HH waste produced per household	Smaller is Better	Not reported in 18/19	970 kg/HH	232.8 kg/HH	215.8 kg/HH (G)	New for 19/20	New for 19/20	No benchmark available
Residents who are satisfied with refuse and recycling services (Annual <sup>17</sup> )	Bigger is Better	79% (Autumn 17)	80%	80%	Due Q3 19/20	No RPS 18/19	No RPS 18/19	National 79% (LGA, 2019)
Targeted communications with landlords and agents to reduce ‘throw away’ culture” (Annual)	Bigger is Better	New for 19/20	3	Annual	Due Q4 19/20	New for 19/20	New for 19/20	No benchmark available
Residents satisfied with street cleansing service (Annual <sup>18</sup> )	Bigger is Better	60% (Autumn 17)	60%	60%	Due Q3 19/20	No RPS 18/19	No RPS 18/19	National 64% (LGA, 2019)
Street cleansing <sup>19</sup>	TBC	New for 19/20	Due Q2 19/20	Due Q2 19/20	Due Q2 19/20	New for 19/20	New for 19/20	TBC
Time banded collections rolled out	Bigger is Better	New for 19/20	55	Due Q2 19/20	Due Q2 19/20 <sub>20</sub>	New for 19/20	New for 19/20	No benchmark available

### 8.3 Risks

8.3.1 There are five risks to delivery of the actions for this priority<sup>21</sup>. These have been assessed at a low (1 to 3), medium/low (4 to 6) and medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **SS011 – Reduction in household waste (risk score 12).** Due to the readily available capacity for refuse, the amount of waste will not reduce significantly unless

<sup>17</sup> Annual KPI from the Residents’ Perception Survey (RPS).

<sup>18</sup> Annual KPI from the Residents’ Perception Survey (RPS).

<sup>19</sup> Street Cleansing KPIs to be agreed for Q2 reporting.

<sup>20</sup> Methodology to be finalised. Therefore, KPI will be reported in Q2.

<sup>21</sup> There were seven risks, but two street cleansing risks on staff training and staff reluctance have been merged into one risk (SS019) and two recycling risks on lack of planning enforcement and lack of engagement have been merged into one risk (SS012).



communications and policies to encourage waste reduction are implemented. A communications plan is in place to encourage recycling and waste reduction and household recycling and waste policies are being rolled out to support increased recycling. A review of future recycling and waste service options will be completed in Q2. This will include an analysis of financial, environmental and performance implications of different service options for next steps to be decided.

- **SS012 – Flats recycling (risk score 6).** The risk to improving waste reduction and recycling by residents living in flats is being managed through better engagement with Barnet Homes to refresh and re-distribute recycling communications and a study to identify options for increasing recycling at privately managed flat sites. The ratio of recycling and refuse capacity will be ensured through the planning process for new buildings, and management of bin provision to existing sites.
- **SS017- Project delays (risk score 1).** The risk of delays to the rollout of projects such as time banded collections or the new data and works system is being managed by a Change Management team within Street Scene. For example, for time banded collections this has included de-briefings and learning from the earlier rollouts to assess capacity and resource levels required to meet targets.
- **SS013 – Embedding new recycling and waste collection rounds (risk score 6).** A communications plan is in place to manage communications with residents about the round re-organisation to minimise the risk of complaints
- **SS019 - Utilise new street cleansing equipment (risk score 6).** A lack of suitably trained staff could affect full utilisation of new street cleansing equipment. Staff who hold the relevant driving licenses are being trained and additional driver operatives are being recruited for the street cleansing service. All will be required to hold a full driving license and will receive training on the new equipment (mechanical brooms, HAKO's and Gluttons).

8.3.2 In addition to the risks in the Annual Delivery Plan, there was a *strategic risk* and two *service risks* for this priority that were scored at a high (15 to 25) level in Q1.

- **STR09 - Increase in the NLWA levy (risk score 15).** This was a new risk identified as part of the refresh of the strategic risk register in June 2019 and is about the expected replacement of the NLWA Energy from Waste (EfW) facility, which could lead to an increase in the waste disposal levy of potentially up to £8million per annum and additional financial costs relating to delays in the construction of the EfW. This would result in an increased financial pressure on the council.
- **SS018 - Frontline employment and retention (risk score 16).** The risk relates to the challenge in recruitment and retention into frontline positions. There has been a struggle to recruit appropriate staff and this could have a detrimental impact on service delivery. Filling vacant posts is a priority with a recruitment campaign due to start soon. To support these activities, engagement activities with existing staff will take place this quarter to collate opinions to inform on the recruitment campaign.
- **TS015 - Change in LEZ and expansion of ULEZ (risk score 15).** Council vehicles will need to be replaced or retrofitted with compliant technology to meet the minimum emission standard in Low Emission Zones (LEZ) and Ultra Low Emission Zones (ULEZ)

by October 2020. Work is ongoing to develop a capital bid along with market research for retrofitting emission reduction technology in existing vehicle where viable.

Keeping the borough moving	Q1
	Overall Performance Limited

#### 8.4 Summary of Actions Good progress

8.4.1 In Q1, the working area completed under three Network Recovery Plan (NRP) workstreams - proactive patching, footway relay and carriageway large-scale machine patching - was 15,927 square metres (0.44 of the borough network). The NRP 2019/20 aims to achieve 2.1% overall improvement on the road network. In Q1, road repairs completed 0.31% of the road network; and footway relay completed 0.13% of the footway network. The Year 5 NRP customer perception survey for footway relay and carriageway resurfacing will be conducted after individual schemes have been completed.

8.4.2 £12million capital investment to continue the NRP for the next two years (£6million per year for 2020/21 and 2021/22) was approved by P&R Committee on 20 February 2019. The Highways Maintenance Contract is being re-procured and a discussion about additional capital funding for Highway maintenance beyond 2021/22 is required with key Members. A bid for Government funding from the Local Highways Maintenance Challenge Fund is being led by TfL in the autumn.

8.4.3 The Local Implementation Plan (LIP) was approved by the Mayor of London, which includes a commitment to improve public transport and work towards TfL's Vision Zero. There is an agreed LIP programme for 2019/20; however, there are concerns around the use of borough wide 20mph zones and vertical measures to slow traffic, which need further discussion prior to implementation. The use of sustainable transport modes will also play an important part in achieving TfL's vision, which will be subject to approval by Members.

#### 8.5 KPIs

8.5.1 There are three KPIs for this priority, which monitor highways repairs. One KPI met the Q1 target. Two KPIs were not reported in Q1 due to resource issues in Conway Aecom. An average for April and May 2019 has been reported instead. These KPIs did not meet the Q1 target.

- **Highways Category 1 defects rectification timescales completed on time (RAG rated RED) – 89.6% against a target of 100%.** IT issues have continued to affect performance. Barnet Council and Re officers are meeting with the contractor's senior officers, supervisors and IT officers weekly to discuss and agree necessary measures to resolve the process and system issues which are preventing the reporting of Category 1 and Category 2 performance. A number of issues have been identified and good progress has been made to date but a sustainable long-term solution requires system development on both sides which are being actively pursued but will not be available until early November 2019. KPI reporting performance should significantly improve once these amended processes and system upgrades are implemented.
- **Highways Category 2 defects rectification completed on time (RAG rated RED) – 89.2% against a target of 100%.** See comment above

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Emergency defects rectification timescales completed on time	Bigger is Better	100%	100%	100%	100% (G)	→ S	100%	No benchmark available
Highways Category 1 defects rectification timescales completed on time (48 hours)	Bigger is Better	78.8%	100%	100%	89.6% (R) <sup>22</sup>	↑ I +49%	60%	No benchmark available
Highways Category 2 defects rectification completed on time	Bigger is Better	69.2%	100%	100%	89.2% (R) <sup>23</sup>	↑ I +13%	79.3%	No benchmark available

## 8.6 Risks

8.6.1 There are two risks to delivery of the actions for this priority<sup>24</sup>. These have been assessed at a medium/low (4 to 6) level and have controls/mitigations in place to manage the risk.

- **EC015 - Breakdown with development partner (risk score 4).** To manage risks of delays, quality or cost due to a breakdown in partner relationship, a new Service Director has been appointed by Re. Joint meetings are being held regularly to discuss priorities and timescales for delivery of schemes and projects. Reactive maintenance is a priority and issues with defects on the highway are discussed weekly with the Chair and Vice Chair of the Environment Committee. In addition, there are weekly meetings with the third-party contractor to monitor and identify reasons why defects are not repaired on time.
- **EC016 - Non-delivery of LIP spend (risk score 4).** The LIP programme is actively monitored by the council and bi-monthly meetings are held with TfL to review progress of delivery and financial spend. Barnet's LIP funding allocations have been fully committed in the past three years and this is expected to continue in the future. The LIP3 programme has been approved for the next three years.

8.6.2 In addition to the risks in the Annual Delivery Plan, there were two *service* risks for this priority that were scored at a high (15 to 25) level in Q1.

- **TS013 - Passenger Transport Services move (risk score 20).** The handback of North London Business Park (NLBP) will necessitate the relocation of Passenger Transport Service (PTS) vehicles with operation to a suitable alternate site; not being able to secure a suitable site could result in additional costs to extend the current lease (subject to availability) or disruption to the Home to School transport service for Special Education Need children in and out of borough. The depot project team are undertaking space planning exercise for vehicle parking and office space. The lease for the PTS vehicles parked at NLBP is being extended for another year to 2020 reducing the risk to business continuity until a suitable site is found

<sup>22</sup> The result covers April and May only. Q1 results are being finalised.

<sup>23</sup> The result covers April and May only. Q1 results are being finalised.

<sup>24</sup> There were three risks, but two highways risks on relationship management have been merged into one risk (EC015).

- **PI011 - Winter Service (risk score 15).** The relocation of the gritting depot from Barnet to Harrow could lead to increased travel time and the effectiveness of the service. As there is no other alternative available during this winter season, this risk will be tolerated with a focus on ensuring that decisions and deployment are carried out in a timely manner. Work on relocation has been continuing with Property Services continuing to work on identifying a suitable site in Barnet though it is acknowledged that this is proving difficult before the next winter season and thus the risk remains at a high level. The Winter Service Plan is yet to be finalised by Re and this is being followed up by the Head of Network and Infrastructure.

Getting the best out of parks and improving air quality	Q1 Overall Performance
	Good

## 8.7 Summary of Actions Good progress

- 8.7.1 The sports hub master plans for West Hendon Playing Fields, Barnet/King George V Playing Fields, Cophall Playing Fields have progressed and will be presented to a future Environment Committee for adoption.
- 8.7.2 The delivery of the Montrose and Silkstream Parks investment has progressed and is on target for completion by end 2019. A series of smaller parks improvement projects are underway across the borough. The Tree Planting programme is progressing well and the planting will resume later this year during the appropriate planting season.

## 8.8 KPIs

- 8.8.1 There are three KPIs for this priority, which monitor parks and open spaces. One KPI met the Q1 target. Two KPIs are annual and will be reported in Q3.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Residents satisfied with parks and open spaces (Annual <sup>25</sup> )	Bigger is Better	77% (Autumn 17)	74%	74%	Due Q3 19/20	Not reported in 18/19	Not reported in 18/19	No benchmark available
Total value of investment secured (£)	Bigger is Better	New for 19/20	100k	25k	82.6k (G)	New for 19/20	New for 19/20	No benchmark available
Total number of trees planted per annum <sup>26</sup>	Bigger is Better	New for 19/20	900	Due Q3 19/20	Due Q3 19/20	New for 19/20	New for 19/20	No benchmark available

## 8.9 Risks

- 8.9.1 There are three risks to delivery of the actions for this priority<sup>27</sup>. These have been assessed at a medium/high (8 to 12) level and have controls/mitigations in place to manage the risk.

<sup>25</sup> Annual KPI from the Residents' Perception Survey (RPS).

<sup>26</sup> Data to be reported in Q3 and Q4 to coincide with the tree planting season.

<sup>27</sup> There were five risks. Two parks risks relating to relationship with contractor have been merged into one risk (EC008) and the risk on objections to tree planting was closed in Q1, as it was no longer considered to be relevant.

- **EC007 - Objections to masterplan proposals (risk score 8).** To manage the risk of objections to masterplan proposals, public and stakeholder consultation has taken place for Copthall Playing Fields, Barnet and King George V Playing Fields, and West Hendon Playing Fields. The public consultation has been publicised via posters in the park, leaflet drops to nearby properties, Twitter, Facebook and contact made to stakeholders.
- **EC008 - Delays to construction (risk score 8).** To manage the risk of delays to the construction programme, SLC (The Sport, Leisure and Culture Consultancy) has been appointed to produce a feasibility study to help identify project risks for Barnet and King George V Playing Fields, and West Hendon Playing Fields. A consultant has been appointed to assist in the development of the draft master plan for Copthall. For the Sports Hubs master planning projects work will be carried out to identify risks associated with the development of the sites. This will be undertaken as part of the development of an Outline Business Case n Q2.
- **EC009 - Brexit uncertainty leading to increased costs (risk score 8).** Procurements and contracts for works will take into account, where possible, any known and unknown factors to mitigate this risk.

## Escalations from Environment Committee

### 8.10 Escalated KPIs and/or Risks

- 8.10.1 In addition to the corporate priorities, the **Environment Committee Annual Delivery Plan** has two **committee priorities**. A thematic overview of performance for Q1 was provided to Environment Committee in October 2019. Any KPIs that have not met target and/or high (15 to 25) level risks are escalated for review by P&R Committee.
- 8.10.2 There was a *strategic risk* for the **Creating a healthy environment** priority that was scored at a high (15 to 25) level in Q1.
- **STR16 - Environmental sustainability (risk score 20).** This was a new risk identified as part of the refresh of the strategic risk register in June 2019 relating to the inability to adequately manage the environmental impact of resident and business activities (such as air quality, resource management and climate change), which could lead to negative long-term consequences to the local environment and result in statutory environmental duties and targets not being met; financial consequences; and not protecting the environment for future generations.

## 9. ADULTS AND SAFEGUARDING (A&S) COMMITTEE

- 9.1 The **A&S Committee Annual Delivery Plan** sets out the Actions, KPIs and Risks to delivering the corporate priorities in the Corporate Plan (Barnet 2024). It was approved on 18 March 2019 and can be found online at: <https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=698&MId=9475&Ver=4>
- 9.2 There are three **corporate priorities** that fall under the remit of A&S Committee. These are set out below. The Q1 performance reflects the *overall performance on Actions, KPIs and Risks* for each priority.

Corporate Priority	Outcome	Q1 Overall Performance
Integrating health and social care and providing support for those with mental health problems and complex needs	PEOPLE	Satisfactory
Supporting older and vulnerable residents and those with disabilities to remain independent	PEOPLE	Good
Encouraging residents to lead active and healthy lifestyles and maintain mental wellbeing	PEOPLE	Good

Integrating local health and social care and providing support for those with mental health problems and complex needs	Q1 Overall Performance
	Satisfactory

### 9.1 Summary of Actions Good progress

- 9.1.1 This priority incorporates joint work with NHS Barnet Clinical Commissioning Group (BCCG) on the Care Closer to Home Programme (CC2H). The programme aims to transform how primary and community health care and support is delivered, so that people receive care and support closer to their homes, and is intended to act as a foundation for the development of a local integrated care system (ICS) as per the NHS Long Term Plan launched in January 2019.
- 9.1.2 Currently, there are seven Primary Care Network's (PCN's)<sup>28</sup> launched in Barnet. The council has been jointly leading this programme of work with the BCCG and has supported the first PCN to improve referrals and signposting to council and other universal services. The Adult Social Care (ASC) Prevention and Wellbeing Team (PWT) have been working closely with PCN2, which has a focus on the care for those at the end of life and with frailty. The team participate in a weekly multi-disciplinary team meeting looking at opportunities for improvements across the health and social care system. Adults and Health are also closely involved with PCN5 and the development of an improved model of care and support for adults with dementia and their carers. Each of the seven GP practices within PCN5 has committed to becoming a dementia friendly practice. Adults and Health have also been central to the development of the borough wide social prescribing offer, both through ASC and Public Health teams. Workshops are being held to agree the final social prescribing approach for PCN's.

<sup>28</sup> Primary Care Networks are groups of GP practices working closely together with other primary and community care staff and health and care organisations to provide integrated services to their local populations.



- 9.1.3 Work also continues with the Prevention and Wellbeing Co-ordinators working across Barnet with individuals and in Wards, co-ordinating local activities, highlighting what works well, improving accessibility and increasing what is on offer to support local people. This has included a Mental Health support group, carers meetings, a gardening club, walking groups, an IT surgery, a Bollywood dancing group, new reading groups, Information and advice drop-in's and events.
- 9.1.4 The ASC Mental Health Service is fully integrated with the Barnet Enfield and Haringey Mental Health Trust (BEHMHT) and continues to deliver services to people closer to home, working with people in their own homes, supported living and residential placements. The Intensive Enablement team have been working to improve person-centred support offered in accommodation based care services. The Care Quality team have increased their work and monitoring of mental health supported living providers, engaged with providers through a range of forums and events.
- 9.1.5 The Barnet Integrated Learning Disability Service (BILDS), based in the council and made up of social care, community health and mental health trust staff, continues to provide multi-disciplinary care and support for people with learning disabilities. The council's Joint Commissioning team supports BILDS to deliver the national Transforming Care National strategy.
- 9.1.6 BILDS is also making a number of changes to ensure that it maximises the 'progression' of people with learning disabilities to increased independence. This includes in-depth reviews, which identify opportunities to build people's skills and independence, and working with care providers to reduce any overprovision of care in the same setting and work with clients to help them progress towards their identified goals. The service is also already working with six major care providers to alter the way they are commissioned, enabling greater flexibility in supporting progression and changes in people's needs, at a lower overall cost. In the remainder of 2019/20 the BILDS will explore greater use of general purpose housing for people with Learning Disabilities and deliver intensive reviews of out-of-borough residential placements to assess opportunities for progression, improving overall quality, and cost.
- 9.1.7 ASC continues to work closely with the NHS to ensure that people are discharged from hospital as soon as possible. However, in Q1, there has been an increase in delayed transfers of care after a prolonged period of target achievement. This has been caused by increased demand pressure on hospitals and insufficient supply within the care market for complex residential and nursing placements. An action plan has been put in place to improve performance, focusing on work with care providers on capacity and ensuring efficient processes are in place: for example, the average time from notification by the hospital to discharge a patient to arranging a residential placement is 2.5 days while for a complex nursing placement it is 9 days. For the Q1 performance, Barnet is ranked 76<sup>th</sup> out of all 152 local authorities nationally for delayed transfers of care. Within North Central London (Barnet, Camden, Enfield, Haringey and Islington), Barnet is in 2<sup>nd</sup> position after Enfield. The combined acute hospital days delayed reported nationally for June 2019, is lower than May 2019 and early indications show the downward trend continues for July 2019.

## **9.2 KPIs**

- 9.2.1 There are 10 KPIs for this priority, which monitor health and social care integration. Three KPIs met the Q1 targets – permanent admissions to residential and nursing care (18-64 and 65+) and people with Mental Health and Learning Disabilities in settled

accommodation. Five KPIs were not reported in Q1. Two KPIs did not meet the Q1 targets.

9.2.2 Reducing Delayed Transfers of Care (DTOC) has been a priority for Adult Social Care, with national targets set for DTOC reduction in July 2017 by the Department of Health & Social Care, with the improved Better Care Fund (iBCF) was linked to achieving this target.

- **Delayed transfers of care (DTOC) from hospital per day per 100,000 population (aged 18+) which are attributable to NHS and adult social care (RAG rated RED) – 8.73 against a target of 6.84.** DTOC targets were set two years ago under the Better Care Fund Programme. It is a joint target between health and social care for Barnet as a health and social care system. Performance shown is against the monthly target.

In June 2019, the total target for Barnet Health and Social Care System was missed by a total of 171 days delayed or 1.86 delays per day per 100,000 population. The NHS was responsible for 158 of these 171 days (or 1.72 delays per day per 100,000); social care was responsible for 6 of these days (or 0.06 delays per day per 100,000); and joint NHS/ASC delays accounted for 7 of these days (or 0.08 delays per day per 100,000)

- **Delayed transfers of care from hospital per day per 100,000 population which are attributable to adult social care only (RAG rated RED) – 2.32 against a target of 2.03.** See comment above.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Permanent admissions to residential and nursing care homes, per 100,000 population age 65+	Smaller is Better	381.4	490	120	76 (G)	↓ W -20%	63.5	CIPFA Neighbours 383.4 London 406.2 England 585.6 (NASCIS, 17/18) <sup>29</sup>
Permanent admissions to residential and nursing care homes, per 100,000 population age 18-64	Smaller is Better	9.1	12.0	3	1.3 (G)	↓ W -9%	1.2	CIPFA Neighbours 8.8 London 9.6 England 14.0 (NASCIS, 17/18)
New admissions to residential care for working age adults, per 100,000 population, MH only (Annual)	Smaller is Better	New for 19/20	7.5	7.5	Due Q2 19/20 <sup>30</sup>	New for 19/20	New for 19/20	No benchmark available

<sup>29</sup> 2018/19 benchmarking data is due to be released in Q3.

<sup>30</sup> This is a national ASCOF measure for Mental Health data and will be reported in Q2.



Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Adults with mental health needs who live independently, with or without support	Bigger is Better	80.9%	83% <sup>31</sup>	83%	Due Q2 19/20 <sup>32</sup>	Due Q2 19/20	83.8%	CIPFA Neighbours 67.1% London 61% England 57% (NASCIS, 17/18)
Adults with learning disabilities who live in their own home or with their family	Bigger is Better	78%	74%	74%	77.5% (G)	↑ I +3%	75.3%	CIPFA Neighbours 70.9% London 73.3% England 77.2% (NASCIS, 17/18)
Delayed transfers of care from hospital per day per 100,000 population (aged 18+) which are attributable to NHS and adult social care (s)	Smaller is Better	9.45 <sup>33</sup>	6.84 <sup>34</sup>	6.84	8.73 (R)	↓ W +95%	4.47	CIPFA Neighbours 5.61 London 6.17 England 10.9 (Feb 18, Department of Health)
Delayed transfers of care from hospital per day per 100,000 population which are attributable to adult social care only (s)	Smaller is Better	2.01 <sup>35</sup>	2.03 <sup>36</sup>	2.03	2.32 (R)	↓ W +186%	0.81	CIPFA Neighbours 1.77 London 1.93 England 2.92 (Feb 18, Department of Health)
People who feel in control of their own lives (Annual – reported in Q3)	Bigger is Better	75.8% <sup>37</sup>	75.8% <sup>38</sup> (within confidence interval)	75.8%	Due Q3 19/20	Due Q3 19/20	Due Q3 19/20	No benchmark available

<sup>31</sup> Data provided by Barnet, Enfield, Haringey Mental Health Trust. NHS England have been working with all Mental Health Trusts to improve the quality of this data. As this work continues this may lead to variations in reported performance and the target may be revised accordingly.

<sup>32</sup> This is a national ASCOF measure for Mental Health data and will be reported in Q2.

<sup>33</sup> The results for the DTOC KPIs are a snapshot of performance in the most recent month for which data is available at the point of report production (February 2019) – they do not show data over the preceding year.

<sup>34</sup> The DTOC targets are set by NHS England at a national level.

<sup>35</sup> The results for the DTOC KPIs are a snapshot of performance in the most recent month for which data is available at the point of report production (February 2019) – they do not show data over the preceding year.

<sup>36</sup> The DTOC targets are set by NHS England at a national level.

<sup>37</sup> This survey indicator has a confidence interval of +/-4.2%pts.

<sup>38</sup> All indicators based on the Adults Social Care user survey are set using a 'confidence interval' that takes account of the margin of error which may result from surveying a small sample of the population.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
People signposted to information, advice and guidance	Bigger is Better	New for 19/20	Monitor	Monitor	Due Q2 19/20 <sup>39</sup>	New for 19/20	New for 19/20	No benchmark available
Referrals to voluntary sector organisations at first contact	Bigger is Better	New for 19/20	Monitor	Monitor	Due Q2 19/20 <sup>40</sup>	New for 19/20	New for 19/20	No benchmark available

### 9.3 Risks

9.3.1 There are three risks to delivery of the actions for this priority<sup>41</sup>. These have been assessed at a medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- AC004 - Surge in demand from NHS (risk score 12).** To manage an unpredictable surge in demand for Adult Social Care (ASC) from the NHS, regular meetings are held between ASC, BCCG and NHS Provider Trusts to manage pressures in the system and management of patients who are delayed in hospital. In Q1 there were pressures on admissions and beds and a higher number of Delayed Transfer of Care (DToC) reported for health and social care. ASC has an action plan in place and is working closely with providers to ensure capacity and quality of care, and manage expectations from system partners about capacity in care provider markets. Home care capacity remains at a satisfactory level. There is continued partnership with CCG on the roll out of the Primary Care Networks and exploring ways to reduce admissions into hospitals and support people to have community based care and support.
- AC016 - Strategic prevention and intervention (risk score 8).** Funding and sustainability challenges facing the voluntary sector could lead to a reduction in capacity of preventative services. ASC continues to focus on prevention and early intervention for people with care needs and their carers using the strengths-based approach which enables people to focus on their own strengths and assets and recognises what goals they want to achieve, and looks at what community resources are available to support them. In Q1, the Prevention and Wellbeing Service and commissioned provider for dementia community support services launched a Young Onset Dementia group, and the Wellbeing Hub opened its monthly Wellbeing Cafe.
- AC020 - Lack of practicing Approved Mental Health Professionals (AMHP) (risk score 9).** Joint working arrangements are being developed across Barnet, Enfield and Haringey councils and regular meetings have taken place to discuss issues impacting on the AMHP service such as shortage of hospital beds, length of travel to out-of-borough hospital placements, and change of ambulance and transport services. In addition, ASC, the CCG and Barnet Enfield and Haringey Mental Health Trust

<sup>39</sup> New reporting mechanisms being developed and KPI will be reported in Q2. 2019/20 will establish a baseline for future targets to be set in 2020/21.

<sup>40</sup>New reporting mechanisms being developed and KPI will be reported in Q2. 2019/20 will establish a baseline for future targets to be set in 2020/21.

<sup>41</sup> There were three Delivery Plan risks; however, AC018 – Strategic relations with the NHS has been reflected in the new strategic risk (STR12 – Relationship with healthcare providers and partner organisations), which has been mapped to the Safeguarding priority instead of the Integrating local health and social care priority; and AC020 has been moved to this priority from the Supporting older and vulnerable residents priority.

(BEHMHT) are working together to review the crisis pathway to aid crisis support in the community.

Supporting older and vulnerable residents and those with disabilities to remain independent	Q1 Overall Performance
	Good

## 9.4 Summary of Actions Good progress

- 9.4.1 Ansell Court, a dementia friendly extra-care scheme with 53 flats (51 x 1-bedroom flats and 2 x 2-bedroom flats), is the first of the council's three new developments in Barnet. Building works were completed in February 2019 and occupation of the flats commenced during the first week of April 2019. The first set of residents include a family who were eager to step down from residential care where they had been temporarily housed. As at the end of July 2019, 19 flats have been occupied, a further 12 flats have been allocated and the registered manager is working with ASC to assess the referrals for the remaining flats.
- 9.4.2 Two additional extra care sites are in development, one is due to commence build early in 2020 and the other is entering planning stages following the approval of the outline business case.
- 9.4.3 The Reablement service continues to perform well with 157 individuals supported in Q1 and only 13 requiring on-going long-term services.
- 9.4.4 Care technology and equipment help support individuals to continue to live in their own homes or in the community safely and maintain their independence. The Care Technology service continues to grow significantly; now in year three of the contract it is projected there will be another 1,440 user installations, which is significantly above the contract target of 700. The Barnet Community Equipment service is a joint Local Authority and BCCG service which offers a range of community equipment like specialist chairs, grab rails and hoists and this continues to be offered to residents.
- 9.4.5 The dementia support offer continued to grow with the launch of Better Barnet - Dementia Club UK at Copthall Leisure Centre and a new Young Onset Dementia Group set up by the ASC prevention team. Additionally, the Dementia Action Alliance led by Public Health has been re-launched in Barnet and an action plan is being developed to ensure dementia-friendly communities are embedded across the borough.
- 9.4.6 The ASC Specialist Dementia Support team continued to work with adults with dementia and their carers promoting independence and wellbeing. Training takes place over eight weeks and was being delivered to seven carers of adults with dementia in Q1.

## 9.5 KPIs

- 9.5.1 There are three KPIs for this priority, which monitor support to older and vulnerable residents. One KPI met the Q1 target. Three KPIs were not reported in Q1.

Indicator <sup>42</sup>	Polarity	18/19 EOY	19/20 Target	Q1 19/20	Q1 18/19	Benchmarking
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<sup>42</sup> KPIs on the proportion of people with a reduction in support needs following telecare and service users receiving ongoing services with telecare; taken out. These have been replaced by a new KPI on clients receiving preventative reablement

				Target	Result	DOT	Result	
Number of Extra Care beds in Ansell Court which are filled (s)	Bigger is Better	New for 19/20	53	14	19 (G)	New	New for 19/20	No benchmark available
Proportion of people receiving reablement who go on to require a long-term service (SALT)	Smaller is Better	New for 19/20	Monitor	Monitor	Due Q2 19/20 <sup>43</sup>	New for 19/20	New for 19/20	No benchmark available
Clients receiving preventative reablement services enabling them to live in the community for longer	Bigger is Better	New for 19/20	TBC <sup>44</sup>	TBC <sup>45</sup>	No <sup>46</sup> result	New for 19/20	New for 19/20	No benchmark available

## 9.6 Risks

9.6.1 There are no risks delivery of the actions for this priority<sup>47</sup>.

Encouraging residents to lead active and healthy lifestyles and maintain mental wellbeing

Q1  
Overall Performance  
Good

## 9.7 Summary of Actions Good progress

9.7.1 Construction of the New Barnet Leisure Centre and Barnet Copthall Leisure Centre continued in Q1 2018-19. The centres opened to the public on the 30 August 2019 and 1 September 2019 respectively. Pre-launch marketing and communication has been undertaken by GLL, in partnership with the council. The demolition programme at Barnet Copthall Leisure Centre commenced in September 2019 and should be completed by March 2020.

9.7.2 In Q1, GLL commenced a programme of capital works at Finchley Lido Leisure Centre, totalling £485,000 of investment; which included a refurbishment of the changing village area, installation of new technology and environmental improvements such as reducing carbon emissions. In Q1, a planned structural condition survey identified the need for essential roof repairs. In the interests of customer safety, the council made the decision to close public access to the pools in March 2019 and the indoor pools have been closed during Q1. The council has conducted specialist intrusive investigations during the existing closure period, which requires the pools to remain closed to complete the extent of the review and repairs as necessary. Unfortunately, it is anticipated that full access to the wetside area will not be available until early 2020. All swimming lessons

services enabling them to live in the community for longer. This enablement measure is a good replacement as it shows value added services and impact with the number clients supported to live within the community and not requiring more complex social care support.

<sup>43</sup> New reporting mechanisms being developed and KPI will be reported in Q2. 2019/20 will establish a baseline for future targets to be set in 2020/21.

<sup>44</sup> New target for 19/20 to be confirmed when baseline established.

<sup>45</sup> New target for 19/20 to be confirmed when baseline established.

<sup>46</sup> KPI not reported in Q1.

<sup>47</sup> There was one Delivery Plan risk (AC020 – Lack of practicing AMHP) but this has been moved to the Integrating local health and social care priority.

have been transferred to other centres and customers signposted to the council's other pools. The other facilities at the centre have remained open including the outdoor lido.

9.7.3 A review of the Fit and Active Barnet (FAB) Hub was completed with areas identified for improvement, building on the success of 20,000 residents receiving a FAB Card (free residents card which includes a range of concessionary benefits).

9.7.4 As part of the council's leisure management contract with GLL, a range of universal and targeted programmes are co-ordinated. These are delivered by the GLL Physical Activity and Health Team. In Q1, the following targeted interventions were offered;

- Four adult weight management programmes scheduled across Barnet Copthall, Finchley Lido and Burnt Oak Leisure Centres offering 60 places
- Four Xplore Children's Weight Management programmes were delivered in the summer term focusing on 7 to 13 year olds at Brunswick Park School/Church Hill School, Burnt Oak, Finchley Lido and Hendon Leisure Centres; and a further programme took place at Burnt Oak Leisure Centre focusing on 4 to 6 year olds. 48 referrals were received through self-referral, National Child Measurement Programme letter, school nurses, GPs, and other
- 203 referrals into the Physical Activity Referral Scheme (PARS), 53 of which came through the NHS Health Checks pathway. Of the 203 referrals, 62 people started a health intervention programme with the team. 23 starters were participants who were referred with mental health as a primary or secondary reason, and a further 13 starters were participants who were referred with diabetes.

9.7.5 The latest Active Lives dataset published by Sport England (biannually) evidenced a 7.7% increase in the number of adults (16 years plus) taking part in 150 minutes or more of moderate activity. This is Public Health England recommended amount of physical activity per week. This result improved the overall ranking of Barnet in the London region by six places. In addition, the survey showed that:

- Barnet is **one of only five London Boroughs** to be classified as 'significant improvement' in the 'Active'
- Barnet is **the only Borough** to achieve 'significant improvement' in the 'Active' section against the comparators
- Barnet is **one out of two London Boroughs** to achieve 'significant decrease' in the 'Inactive' section

## 9.8 KPIs

9.8.1 There are three KPIs for this priority, which monitor active and healthy lifestyles. Two KPIs met the Q1 targets. One KPI did not meet the Q1 target.

- **Participants engaged in targeted programmes (RAG rated RED) - 86 against a target of 105.** This KPI measures participation in targeted programmes delivered by Barnet's operator, Better, which is designed to improve the health and wellbeing of residents. Participation was below target due to a decision to delay the start of the programmes for Falls and Cancer to avoid clashes with schemes being delivered by Age UK Barnet (Falls) and the Tottenham Hotspur Foundation.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Adults (16+) taking part in moderate activity at least 150 minutes per week (Bi-annual) <sup>48</sup>	Bigger is Better	New for 19/20	60%	60%	64.5% <sup>49</sup> (G)	New for 19/20	New for 19/20	Rank 20 (out of 33 London Boroughs) (2019, Sport England)
FAB card holders following FAB2 campaign	Bigger is Better	New for 19/20	22000	20000	20149 (G)	New for 19/20	New for 19/20	No benchmark available
Participants engaged in targeted programmes	Bigger is Better	New for 19/20	690	105	86 (R)	New for 19/20	New for 19/20	No benchmark available

## 9.9 Risks

9.9.1 There are four risks to delivery of the actions for this priority. These have been assessed at a low (1 to 3); medium/high (8 to 12) and high (15 to 25) level and have controls/mitigations in place to manage the risks.

- AC023 - Construction of leisure facilities (risk score 9).** An increase in construction costs places a risk on affordability of the schemes and potential delays to the programme. The RIBA Stage 4 plans have been reviewed by Capita and Gardiner and Theobald (an independent cost consultancy). Affordability has been re-modelled and the schemes are affordable based on a 35-year prudential borrowing period, assuming the maximum contract income. The construction contract will seek to include Liquidated and Ascertained Damages (LADs) baselined from the programme agreed with Graham Construction. After approval and commencement of construction, regulation and monitoring of the programme will be implemented. The schemes are being funded via the Community Infrastructure levy (CIL) with £2m external investment from Sport England.
- AC043 - FAB Card registrations (risk score 2).** There is a risk that the second phase of the FAB campaign might not result in the level of anticipated FAB Card registrations. The second phase of FAB Card will be implemented alongside the launch of an Active Travel digital application. The FAB Card will continue to be promoted via articles in Barnet First and social media.
- AC044 - Leisure operator performance against contract (risk score 16).** If the leisure operator fails to deliver against contractual obligations/commitments and KPIs this could impact the quality and extent of the service provided. The leisure contract is monitored on a monthly and quarterly basis via an agreed framework of activity to ensure targets are met. The unexpected closure of swimming facilities at Finchley Lido Leisure Centre in March 2019 has influenced the achievement of performance and financial targets/projections.

<sup>48</sup> KPI is reported from the Sport England Active Lives Adult Survey, which is undertaken twice a year.

<sup>49</sup> The dataset released in May 2019 (reporting Nov 17/18 data) demonstrates that 64.5% of Barnet's adult population (16 years plus) are active for at least 150 mins per week. Barnet was only one of five boroughs that achieved a statistically significant increase of 7.7% since Nov 15/16 (alongside Bexley, Ealing, Islington and Lewisham). The survey can be found online at: <https://www.sportengland.org/research/active-lives-survey/>



- **AC045 - Barnet Disability Sports Network (DSN) (risk score 2).** There is a risk the DSN fails to identify and collaborate on opportunities to enhance access and experience for disabled residents. The DSN comprises stakeholders within the borough that provide a service or have contact with residents with a disability. The DSN meets every six months to collaborative on opportunities to maximise Sport and Physical Activity (SPA) access and experience for disabled residents. At the May 2019 meeting, support was identified for a sub-FAB campaign focused on engaging disabled residents to lead active lifestyles (including their carers); and a partnership working opportunity between GLL and Disability Sports Coach UK (DSCUK). DSCUK recently received a corporate grant from the council and engagement with the DSN and alignment with FAB was part of the award criteria.

## Escalations from A&S Committee

### 9.10 Escalated KPIs and/or Risks

- 9.10.1 In addition to the corporate priorities, the **A&S Committee Annual Delivery Plan** has two **committee priorities**. A thematic overview of performance for Q1 was provided to A&S Committee in October 2019. Any KPIs that have not met target and/or high (15 to 25) level risks are escalated for review by P&R Committee.
- 9.10.2 There were two *service risks* for the **Efficient delivery of statutory duties** priority that were scored at a high (15 to 25) level in Q1.
- **AC001 - Increased overspend to meet statutory duties (risk score 20).** The uncertainty of the operating environment could lead to insufficient resources for the service to meet its statutory duties. The 2019/20 financial year will be difficult with the need to deliver substantial savings and increasing demand for service and the cost of care. Monthly budget monitoring processes have been strengthened and opportunities to improve business processes are being pursued and developed as appropriate. The Assistant Director for Community and Performance continues to scrutinise care planning and spending. There is an ongoing effort to realise income and further opportunities from existing savings initiatives are planned.
  - **AC028 - Lack of fully functioning case management system (risk score 15).** If the substantial remedial work required to Mosaic is not implemented in a timely manner, the lack of a fully functioning case management system will have an impact on key business processes and on data/information. Good progress is being made in programme delivery with a major release in April 2019, which saw improvements to the majority of the case management workflows and has received positive feedback from staff.

## 10. CHILDREN, EDUCATION AND SAFEGUARDING (CES) COMMITTEE

10.1 The **Children and Young People’s Plan (CYPP) 2019-23** establishes the vision, priorities and outcomes for children and young people in Barnet, providing a strategic framework for partnership activity in the borough. It has seven themes, which are linked to three **corporate priorities** in the Corporate Plan (Barnet 2024). The CYPP was approved on 16 January 2019 and can be found online at:

<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=697&MId=9469&Ver=4>

Corporate Priority	Outcome	CYPP Theme
Improving services for children and young people	PEOPLE	<ul style="list-style-type: none"> <li>• <b>Family and Belonging</b> - Families and children can be together and be part of a community that encourages resilience</li> <li>• <b>Safe and Secure</b> - Children and young people are safe and protected from harm</li> <li>• <b>Health and Wellbeing</b> - Children are supported to achieve a healthy start in life, enjoy a healthy lifestyle and to build resilience</li> </ul>
Ensuring good schools and enough school places	PEOPLE	<ul style="list-style-type: none"> <li>• <b>Education and Learning</b> - Children and young people can learn about the world around them</li> </ul>
Ensuring we are a family friendly borough	COMMUNITY	<ul style="list-style-type: none"> <li>• <b>Culture</b> - Our attitudes and behaviours enhance the way we work with and for children and young people</li> <li>• <b>Co-operation and Leadership</b> - We include children and young people in decision-making</li> <li>• <b>Communication</b> - Information is shared effectively to children, young people and families across the borough</li> </ul>

10.2 An update on the Actions is provided below for each Theme, along with highlights from the KPIs in the Children's Services Analysis Tool (ChAT) in **Appendix A** and any high (15 to 25) level risks.

### Improving services for children and young people

#### FAMILY AND BELONGING

##### 10.3 Summary of Actions

10.3.1 The Youth Zone (Unitas) was completed and opened in June 2019.

10.3.2 Following extensive work with the Children in Care Council the new Children in Care (CIC) website was launched in May 2019.

10.3.3 The new Local Offer was launched, a website which helps children and young people with SEND and their families find the information and support they need.

10.3.4 Short breaks services for disabled children were recommissioned.

##### 10.4 KPIs (see Appendix A: ChAT)



- 10.4.1 Children Looked After (CLA) per 10,000 levels remained lower than statistical neighbours and England averages, currently at 17 per 10,000, the lowest it has been over the last 5 years.
- 10.4.2 The percentage of Unaccompanied Asylum Seeking Children (UASC) as a proportion of the CIC cohort is 21%, which is significantly higher than our Statistical Neighbours and England average; this has been on an upward trend. UASC figures are slightly below Barnet's threshold of 68.
- 10.4.3 More children are placed within the borough, this is an improving picture and is at the highest it has been since 2014, with 52% of placements in borough.
- 10.4.4 Placement stability has remained fairly consistent; 70% of children have been in their latest placement for more than 2½ years, slightly higher than our Statistical Neighbours.
- 10.4.5 The council keeps in touch with 96% of 18 to 21 year old care leavers.
- 10.4.6 95% of the same cohort are in suitable accommodation.
- 10.4.7 Work is ongoing around Employment, Education and training (EET) data. Whilst it is reported only 62.5% of the above cohort are in EET, this is higher than Barnet's statistical neighbours and the England average. This is expected to improve with the projects ongoing within Onward and Upward.

## **SAFE AND SECURE**

### **10.5 Summary of Actions**

- 10.5.1 In May 2019, OFSTED undertook a full Inspection of Local Authority Children's Services (ILACS). The final report was published on the 1 July 2019. The authority was found to be Good on all four domains:
- Help and Protection services are Good
  - Services to Children in care and care leavers are Good
  - Leadership and Management of social care practice is Good
  - Overall effectiveness is Good
- 10.5.2 The three Early Help hubs in the West, South and East Central have all been established and were well received by stakeholders.
- 10.5.3 Through a partnership with MAC UK, Growing Against Violence and Art Against Knives work was delivered with young people at risk of exploitation (including in relation to gangs). This work is being built on through a successful bid to the Home Office's Trusted Relationships programme.
- 10.5.4 The work of the REACH team is demonstrating positive impact on reducing missing episodes, offending, and family breakdown and is positively supporting young people back to employment, education or training.

### **10.6 KPIs (see table 11 and Appendix A: ChAT)**

- 10.6.1 There was a 17% increase in the number of contacts between April and May 2019. This could be due to Early Help referrals now coming through the MASH for processing.

10.6.2 Caseloads remained relatively low and in line with demand. Onwards and Upwards remained the team most at risk of high caseloads through increased demands and the size of the cohort. These are monitored on a weekly basis through the Weekly Operational Trackers by all managers.

**Table 11: Average Caseloads April to May 2019**

Average Caseloads	Apr-19	May-19	Change from previous month
	No.	No.	No.
Duty and Assessment	18.5	15.6	-2.9
Intervention and Planning	17.5	17.1	-0.4
Children in Care	12.4	12.4	0
0-25	16.7	15.2	-1.5
Onwards and Upwards	20.1	19.3	-0.8
REACH	9.5	8.8	-0.7

10.6.3 86% of Early Help Assessments are completed by an Early Help hub locality lead – showing that the model is now embedded across the partnership.

10.6.4 Of those children requiring an Initial Child Protection Conference (ICPC), 86% were held within the timescales of 15-days from the strategy discussion. Of those children going to ICPC, 93% resulted in a child protection plan, suggesting good decision making.

10.6.5 64% of Children in Need (CiN) are visited within six weeks, this is an improving picture – there is ongoing close scrutiny of this data by managers; for children not seen within timescales we know it is a combination of failed visits, school holidays, non-engagement and religious holidays.

10.6.6 Re-registration rates are low at 7% of children becoming Child Protection (CP) having previously been on a plan; this is a positive as it shows that children are not revolving through our system

10.6.7 There are no children who have been on a CP Plan for more than two years; with the majority having been on a plan for less than six months, which is positive.

10.6.8 Significantly, when adopting, the council places children with family within 421 days of them entering care – this is the lowest it has ever been.

10.6.9 Decisions for adoption remain right, with no children who have had their permanence decision changed; this is much better picture than our statistical neighbours and the England average.

10.6.10 Staffing levels in June 2019 indicated a reduction in agency social workers to 26.9%. The cumulative turnover in staff for the year to end of June 2019 was 16.7% which is in line with the outer London position for both measures.

## HEALTH AND WELLBEING

### 10.7 Summary of Actions

- 10.7.1 Section 75 agreement with CCG was in place for Family Services to commission early help mental health and wellbeing services from the transformation fund.
- 10.7.2 Early help mental health and wellbeing services were recommissioned and evaluations are underway
- 10.7.3 Work was undertaken to decommission the family nurse partnership and implement Maternal Early Childhood Sustained Home-visiting (MECSH).

### 10.8 Risks

- 10.8.1 There was a *strategic risk* for this priority that was scored at a high (15 to 25) level in Q1.
  - **STR17 - Strengthening safeguarding (risk score 16).** Insufficient safeguarding arrangements for children could lead to children suffering significant harm. A delivery plan is in place to take forward recommendations from the Ofsted inspection to ensure continued improved outcomes for children, young people and families. Membership of the Multi-Agency Safeguarding Arrangements (MASA) is being refreshed and the work programme reviewed. The Chief Executive, Borough Commander and Lead Officer in the CCG provide visible leadership to drive forward the delivery plan, and ensure resources are available from across the council and partners to support further improvement. A strong communication/engagement plan is in place at all levels of the partnership to maintain focus, energy and momentum on improvements.

## Ensuring good schools and enough school places

## EDUCATION AND LEARNING

### 10.9 Summary of Actions

- 10.9.1 Following recent inspections in which schools' ratings have improved Barnet now has just four schools that are 'Requires Improvement'. More than 95% of schools are 'good' or 'outstanding'.
- 10.9.2 A needs analysis of Special Educational Needs and Disability (SEND) provision has been undertaken across Barnet and a proposal to meet the need. A consultation has been launched on the proposals, the aim of which is to provide as many high quality and local places as possible for children and young people who have an Education, Health and Care Plan (EHCP)
- 10.9.3 c.17,000 people accessed a range of activities (end May 2019) as part of the Libraries Year of Learning.
- 10.9.4 The SEND Information Advice and Support Service (SENDIASS) has secured funding from the Council for Disabled Children (CDC) to expand the independent information, advice and support offer to include young people to be aware of the service and actively participate in planning for their future educational needs.

## **10.10 KPIs**

10.10.1 There are no KPIs for this priority.

## **10.11 Risks**

10.11.1 There are no high (15 to 25) level *strategic or service risks* for this priority.

## **Ensuring we are a family friendly borough**

### **CULTURE**

#### **10.11 Summary of Actions**

10.11.1 The Voice of the Child team has been working closely with UNICEF UK to deliver the Child Friendly Communities and Cities initiative. This is a global programme that aims to advance children's rights and well-being at the local level. Barnet is one of only five local authorities that are part of the initiative and the aim is to get accredited with Child Friendly status in the next two years.

10.11.2 Nine collaborative SEND working groups have been set up with representatives from education, health, social care, and the parent/carer community to look at priority areas such as autism, the local offer and Education, Health and Care Plans.

### **CO-OPERATION AND LEADERSHIP**

#### **10.12 Summary of Actions**

10.12.1 The Children and Young People's Plan (CYPP) has been published. More than 2,000 children and young people were involved in its development, as well as elected members, council officers, heads of service and partner agencies to drive out the best outcomes.

10.12.2 The Children and Social Work Act 2017 replaced Local Safeguarding Children Boards with new arrangements that place a shared and equal duty on the local authority, the Police and CCG to safeguard and promote the welfare of children. In line with the guidance published in Working Together 2018, the statutory partners agreed and published their arrangements in June 2019.

### **COMMUNICATION**

#### **10.13 Summary of Actions**

10.13.1 Work has begun on delivering the new Children and Young People Communication Strategy. Campaigns this year will focus on mental health and crime/safety, based on findings from the Children and Young People's survey that these were their top concerns.

10.13.2 A tender has gone out for the Young People's Perception Survey, which will run in October and November 2019.

10.13.3 A Children in Care survey relaunch in December 2018 resulted in a 60.9% increase in responses from children and young people when compared to the previous survey. The Corporate Parenting Advisory Panel will use a more in-depth analysis of the results, alongside the results of the other work with young people over the last 12 months, to agree what will happen as a result of the messages from the survey

**10.14 KPIs**

10.14.1 There are no KPIs for this priority.

**10.15 Risks**

10.15.1 There are no high (15 to 25) level *strategic or service risks* for this priority.

## 11. HEALTH AND WELLBEING BOARD (HWBB)

11.1 The **HWBB Annual Delivery Plan** sets out the Actions, KPIs and Risks to delivering the corporate priorities in the Corporate Plan (Barnet 2024). It is a partnership plan that focuses, where possible, on wider health outcomes. Therefore, many of the KPIs are population level indicators that are collected annually. The plan was approved on 28 March 2019 and can be found online at:

<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=177&MId=9593&Ver=4>

11.2 There are three **corporate priorities** that fall under the remit of the HWBB. These are set out below. The Q1 performance reflects the *overall performance on Actions, KPIs and Risks* for each priority.

Corporate Priority	Outcome	Q1 Overall Performance
Integrating health and social care and providing support for those with mental health problems and complex needs	PEOPLE	Good
Encouraging residents to lead active and healthy lifestyles and maintain mental wellbeing	PEOPLE	Good
Improving services for children and young people	PEOPLE	Good

Integrating health and social care and providing support for those with mental health problems and complex needs	Q1 Overall Performance
	Good

### 11.3 Summary of Actions Good progress

11.3.1 The pre-diabetes Local Commissioned Service has been refreshed; however, as the NHS Diabetes Prevention Programme (NHS DPP) has now received a long-term funding commitment to cover the next five years, there will be continued reviews as to the need and available funding for a Locally Commissioned Service (LCS). To support patients with Atrial Fibrillation, clinics in the borough have identified patients who have not been seen or had a treatment discussion to close the treatment gap.

11.3.2 The Dementia Action Alliance has been re-launched in Barnet and a Dementia Action Alliance Action Plan is being developed to ensure dementia-friendly communities are embedded within Barnet. The Primary Care Network (PCN) 5 is developing materials to deliver an improved model of care and support to adults with dementia and their carers. KPIs are to be finalised by Public Health to measure the impact of the Dementia Action Alliance and outcomes achieved by the PCN 5.

11.3.3 The social prescription offer within Barnet continues to be strong with a wide and diverse range of organisations offering information, advice and signposting to help people maintain and improve their health and wellbeing. The Wellbeing Hub is utilised by GP practices in the borough and receives referrals from both statutory and non-statutory organisations as well as large numbers of self-referrals from Barnet residents. Mental Health Trust Primary Care Link Workers are also embedded throughout GP practices to ensure GPs are supported in assessing whether secondary mental health services may be appropriate or other community based provisions of support.

11.3.4 The CCG are considering with Public Health opportunities to further expand and strengthen social prescription in the borough for each PCN, in line with new funding available.

## 11.4 KPIs

11.4.1 There are four KPIs for this priority, which monitor health care. The Q1 result for the National Diabetes Prevention Programme was 368. 78.5% of patients diagnosed with atrial fibrillation were treated in a timely manner in 2017/18 (latest result available). The proportion of people using mainstream leisure and community opportunities or in education, employment, training or volunteering will be reported later in the year.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
People referred to National Diabetes Prevention Programme	Bigger is Better	New for 19/20	995	Monitor	368	New for 19/20	New for 19/20	No benchmark available
Proportion of patients diagnosed with atrial fibrillation that are treated (anticoagulated) in a timely manner (Annual)	Bigger is Better	New for 19/20	85%	Annual	78.5% (17/18) <sup>50</sup>	New for 19/20	New for 19/20	No benchmark available
Proportion of people using mainstream leisure and community opportunities (Annual)	Bigger is Better	New for 19/20	65%	Annual	TBC <sup>51</sup>	New for 19/20	New for 19/20	No benchmark available
Proportion of clients who are in education, employment, training or volunteering (Annual)	Bigger is Better	New for 19/20	50%	Annual	TBC <sup>52</sup>	New for 19/20	New for 19/20	No benchmark available

## 11.5 Risks

11.5.1 There are four risks to delivery of the actions for this priority. These have been assessed at a low (1 to 3) and medium/low (4 to 6) level and have controls/mitigations in place to manage the risks.

- **PH12 - Inadequate uptake of Diabetes prevention programme (risk score 2).** If the programme is not advertised and promoted across the borough this could lead to inadequate uptake amongst those most at risk of developing diabetes. An automatic

<sup>50</sup> 78.5% for 2017/18. 19/20 data expected March 2020.

<sup>51</sup> This is a partnership indicator that does not come from Public Health. The team is following up to establish when the data will be available for 19/20.

<sup>52</sup> This is a partnership indicator that does not come from Public Health. The team is following up to establish when the data will be available for 19/20.

prompt for referral has been put on GPs IT system and a facilitator is visiting Barnet GP practices to encourage engagement.

- **PH13 - Funding of diagnosis for Atrial fibrillation patients (risk score 4).** The NHS England Transformation Fund methodology could lead to local delivery challenges. Funding for Atrial fibrillation has been secured and the risk is will be therefore reduced in Q2.
- **PH14 - Delivery of dementia focused care (risk score 6).** If prevention and an integrated network is not in place, people with risk of developing dementia and those who already have dementia may have more complex illness and needs. A local Dementia Alliance had been formed, which meets quarterly to focus on delivery of care.
- **PH15 - Enablement model sustainability (risk score TBC).** The risk is about the sustainability of joined up working across the NHS, ASC and the voluntary and community sector. The risk will be mitigated to some extent by the local Sustainability and Transformation Plan (STP), NHS England resources to support development of a robust enablement model and the work of the HWBB.

Encouraging residents to lead active and healthy lifestyles and maintain their mental wellbeing	Q1 Overall Performance Good
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## 11.6 Summary of Actions Good progress

- 11.6.1 Public Health is leading on a borough-wide mental health campaign supporting people to maintain and improve their mental health and wellbeing by raising awareness, tackling stigma and discrimination. As part of this campaign, the Good Thinking wellbeing service will be promoted. A promotional video has been shared via social media.
- 11.6.2 To support the Healthy Weight Strategy, the Health Visiting service is undergoing a review to ensure that it delivers the Healthy Child programme in Barnet. This also involves the rollout of new data collection systems, which should ensure that breastfed infants data will be accurately recorded. However, the mobilisation phase of the transformation has been delayed so the developmental target will not apply to the service until October 2019.
- 11.6.3 Barnet has a similar proportion of adults that are physically active for 150 minutes or more a week as London and England. A working group has been formed to streamline priorities between the Sports, Participation and Activity team, Public Health and Transport, with physical activity priorities being integrated into the new Transport Strategy.
- 11.6.4 The National Child Measurement Programme (NCMP) is being delivered by Central London Community Healthcare (CLCH) to measure eligible children. A healthy schools lunches project pilot has been commissioned to promote healthy eating among primary school children.
- 11.6.5 To support schools in the implementing of 20 minutes of extra physical activity, an audit of the provision of additional physical activity in schools has been undertaken. Physical activity is being promoted via the Resilient Schools programme and Sport London.



## 11.7 KPIs

11.7.1 There are seven KPIs for this priority, which monitor active and healthy lifestyles. Six are annual KPIs – the latest results (for 2017/18) have been reported for three KPIs and three KPIs will be reported later in the year.

11.7.2 The **proportion of infants breastfed at 6-8 weeks (developmental target) was 7.1% in Q1**. Currently the data collected is incomplete, so when all live births at 6-8 weeks is used as the denominator to calculate this indicator the uptake is well below target (7.1%). The Health Visiting Service (which collects the data) is undergoing a transformation. A new data collection system is being implemented to record breastfeeding data, which should improve the completeness of data collection. The mobilisation phase of the transformation has been delayed by four months, so the developmental target will not apply to the service until October 2019 (Q2). Where this data was collected and recorded for Q1 at the six to eight weeks health visitor check, breastfeeding uptake was 78%, suggesting that the real rate of breastfeeding in Barnet is likely to be significantly higher than the rate currently reported.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Utilisation of 'Good Thinking' platform (Annual)	Bigger is Better	New for 19/20	10000	Annual	Due Q4 19/20	New for 19/20	New for 19/20	No benchmark available
Proportion of infants being breastfed at 6-8 weeks (developmental target) (Annual)	Bigger is Better	New for 19/20	60%	Monitor	7.1%	New for 19/20	New for 19/20	England 42.7% (17/18)
Proportion of physically active adults that meet Chief Medical Officer guidelines (e.g. 150 minutes of moderate activity a week) (Annual)	Bigger is Better	New for 19/20	65%	Monitor	66.5% (17/18) <sup>53</sup>	New for 19/20	New for 19/20	No benchmark available
Childhood excess weight (overweight and obesity) prevalence for Reception pupils. (Annual)	Smaller is Better	New for 19/20	19%	Monitor	20% (17/18) <sup>54</sup>	New for 19/20	New for 19/20	London 21.8%

<sup>53</sup> 66.5% for 17/18. 18/19 data expected May 2020.

<sup>54</sup> 20% for data covering the academic year 17/18 (compared to London average of 21.8%). Data for academic year 18/19 expected Q3 19/20. Data for academic year 19/20 not due until Q3 20/21.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Childhood excess weight (overweight and obesity) prevalence for Year 6 pupils. (Annual)	Smaller is Better	New for 19/20	30%	Monitor	33.1% (17/18) <sup>55</sup>	New for 19/20	New for 19/20	London 37.7%
Number of schools participating in Mayors Golden Km <sup>56</sup>	Bigger is Better	New for 19/20	TBC	TBC	Due Q3 19/20	New for 19/20	New for 19/20	No benchmark available
Provide information, resources and signposting to all secondary and primary schools (Annual) <sup>57</sup>	Bigger is Better	New for 19/20	122	Annual	Due Q4 19/20	New for 19/20	New for 19/20	No benchmark available

## 11.8 Risks

11.8.1 There are three risks to delivery of the actions for this priority. These have been assessed at a low (1 to 3) and medium/low (4 to 6) level and have controls/mitigations in place to manage the risks.

- **PH16 - Management of 'Good Thinking' platform (risk score 2).** The 'Good Thinking' digital platform is managed regionally. There is a risk that implementation may not be tailored to local needs of residents and access to the service may be underutilised. A Campaign is underway to encourage use of the platform.
- **PH17 - Delivery and engagement of the Healthy Weight Strategy (risk score 6).** Improving outcomes linked to the Healthy Weight Strategy requires whole system leadership and consistent engagement. If the Healthy Weight Strategy is not delivered due to a lack of partnership working, prevalence of childhood obesity could increase. Regular meetings are held with commissioned providers to ensure the service is effective. The Public Health team supports schools to provide healthy school lunches and Year 7 pupils are taught about healthy diet. Schools are supported with healthy weight initiatives such as the Healthy Schools and Resilient Schools Programmes. A Wellbeing Officer has been recruited to support the rollout of the Healthy Weight Strategy.
- **PH18 - Lack of engagement with schools for Mayors Golden Kilometre (risk score 6).** To ensure schools are engaged with the programme, a physical activity action plan is being developed to support primary schools in the delivery of the daily physical activity programme. A Wellbeing Officer has been recruited to support the rollout of the scheme.

<sup>55</sup> 33.1% for data covering the academic year 17/18 (compared to London average of 37.7%). Data for academic year 18/19 expected Q3 19/20. Data for academic year 19/20 not due until Q3 20/21.

<sup>56</sup> From Sep 19 this data will be routinely collected as part of the Resilient Schools Programme. A baseline figure will be provided in Q3 19/20 to inform the physical activity strategy due in 2020. The target will be confirmed once the baseline is established e.g. number of schools participating in 20 mins extra physical activity.

<sup>57</sup> This is to do with developing a menu of additional physical activities and resources for schools.

## 11.9 Summary of Actions Good progress

11.9.1 A successful communications campaign to promote the expansion of the Resilient Schools Programme has achieved a commitment from 50 schools. To promote good mental health and resilience among young people, 72 schools have at least one mental health first aider, with a strategy to train another 45 to 50 schools in the next six months. An agreement is in place with the CCG for Family Services to commission early help for mental health and wellbeing services.

## 11.10 KPIs

11.10.1 There are six KPIs for this priority, which monitor services for children and young people. Three KPIs met the Q1 target. Three KPIs are annual - the latest result (for 2017/18) has been reported for one KPI and two KPIs are still to be confirmed.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Number of schools participating in Resilient Schools programme (Annual)	Bigger is Better	New for 19/20	40 by Q2 19/20	20	50 (G)	New for 19/20	New for 19/20	No benchmark available
Number of schools completed mental Health First Aid training (Annual)	Bigger is Better	New for 19/20	122 <sup>58</sup>	43	72 (G)	New for 19/20	New for 19/20	No benchmark available
Positive satisfaction with life among 15 year olds (Annual) <sup>59</sup>	Bigger is Better	New for 19/20	90%	TBC	TBC	New for 19/20	New for 19/20	No benchmark available
Emotional wellbeing of looked after children aged 5-16 that is of no concern (Annual)	Bigger is Better	New for 19/20	70%	70%	71.1% (17/18) <sup>60</sup>	New for 19/20	New for 19/20	London 66.6%
Proportion of children in care with up to date immunisations (Annual)	Bigger is Better	New for 19/20	TBC	TBC	TBC	New for 19/20	New for 19/20	No benchmark available
Waiting times for Autistic Spectrum Disorder assessments	Bigger is Better	New for 19/20	<18 week wait	<18 week wait	7.2 week wait (G)	New for 19/20	New for 19/20	No benchmark available

<sup>58</sup> The target represents all state schools in Barnet.

<sup>59</sup> The national survey that this statistic was previously taken from has been discontinued. The Public Health team is considering how surveys included in the Resilient Schools Programme can be used to provide similar information.

<sup>60</sup> This is an annual KPI and 18/19 results are expected in April 2020. The figure for 17/18 was 71.1% against a London average of 66.6%

## 11.11 Risks

11.11.1 There are three risks to delivery of the actions for this priority. These have been assessed at a medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **PH19 - Capacity of schools and the Resilient Schools programme (risk score 6).** The risk is about the capacity of schools to deliver interventions; and for the Resilient Schools programme expanding into further schools. There has been a change in model of delivery for 2019/20, with support provided through meetings for multiple schools, schools supporting each other, online resources, email/ telephone, and a framework to highlight schools where additional support is needed. A new part-time Health Improvement Officer will be in place from September to support rollout of the programme.
- **PH20 - Risk of health and wellbeing deterioration in young people (risk score TBC).** The risk is about the different factors that can influence emotional and physical wellbeing of looked after children.
- **PH21 - Lack of staffing resources within the CCG (risk score 12).** A lack of staffing resources with the CCG could lead to delays in service provision. A strategic Autistic Spectrum Disorder working group has been set up to identify a whole system approach to support the pathway and provider transformation needs. Commissioners are working with key providers to address recruitment problems and consider innovative pathways for Therapies and Community Paediatricians.

## Escalations from HWBB

### 11.12 Escalated KPIs and/or Risks

11.12.1 In addition to the corporate priorities, the **HWBB Annual Delivery Plan** has two **committee priorities**. A thematic overview of performance for Q1 was provided to the HWBB in October 2019. Any KPIs that have not met target and/or high (15 to 25) level risks are escalated for review by P&R Committee.

11.12.2 There was a *service risk* for the **Continuing improvements on preventative interventions** priority that was scored at a high (15 to 25) level in Q1.

- **PH06 - Pandemic Influenza type disease outbreak (risk score 20).** 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 resulting in an impact on service delivery and the health protection of residents. [Pandemic Influenza is a national risk and is recorded on the Borough Resilience Forum Risk Register. 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)]. The Multi-Agency Flu Plan was revised and is in the process of being finalised after consultation with partners. The planning on resilience and response has been reviewed to ensure the council's planning is in line with National and Regional guidance.

## 12. COMMUNITY LEADERSHIP AND LIBRARIES (CLL) COMMITTEE

12.1 The **CLL Committee Annual Delivery Plan** sets out the Actions, KPIs and Risks to delivering the corporate priorities in the Corporate Plan (Barnet 2024). It was approved on 7 March 2019 and can be found online at:

<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=694&MId=9610&Ver=4>

12.2 There are four **corporate priorities** that fall under the remit of CLL Committee. These are set out below. The Q1 performance reflects the *overall performance on Actions, KPIs and Risks* for each priority.

Corporate Priority	Outcome	Q1 Overall Performance
Keeping Barnet safe	COMMUNITY	Satisfactory
Tackling anti-social behaviour and environmental crime	COMMUNITY	Satisfactory
Celebrating diverse and strong communities and taking a zero-tolerance approach to hate crime	COMMUNITY	Good
Focusing on the strengths of the community	COMMUNITY	Satisfactory

Keeping Barnet safe	Q1 Overall Performance
	Satisfactory

### 12.3 Summary of Actions **Satisfactory progress**

12.3.1 Barnet's approach to anti-social behaviour (ASB) puts victims at the heart of the response and delivers enhanced multi-agency interventions to bring relief to neighbourhoods suffering from persistent and complex ASB problems. This work is facilitated and driven through the Community Safety MARAC (Multi-Agency Risk Assessment Case Conference), which meets regularly to review the most persistent and complex ASB cases. In Q1, the CS MARAC co-ordinated interventions across 19 new ASB cases and over 40 existing ASB cases.

12.3.2 The Barnet Safer Communities Partnership has invested in the OWL (Online Watch Link) system to help keep the community safe and updated with the latest crime prevention advice from the Police and Neighbourhood Watch. In Q1, over 20,000 people in Barnet were signed up to OWL and linked to over 2,700 Neighbourhood Watches across the borough.

### 12.4 KPIs

12.4.1 There are four KPIs for this priority, which monitor crime and ASB. One KPI met the Q1 target. Three KPIs are Monitor only. One KPI has worsened since last year.

- **Overall crime rate in Barnet – 77.0 compared to 70.4 last year.** Whilst overall crime has increased in Barnet, this is in line with other London Boroughs. Barnet remains the 9<sup>th</sup> lowest London Borough for overall crime and has the 2<sup>nd</sup> lowest rate of violent crime in the capital.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Complex repeat ASB cases to be problem solved through Community Safety MARAC	Bigger is better	New for 19/20	30	7	19 (G)	New for 19/20	New for 19/20	No benchmark available
Residents signed up to OWL	Bigger is better	New for 19/20	TBC <sup>61</sup>	Monitor	22789	New for 19/20	New for 19/20	No benchmark available
Overall crime rate in Barnet (total notifiable offences) (r)	Smaller is Better	74.12 <sup>62</sup>	Monitor	Monitor	77.0 <sup>63</sup>	↓ W +9.4 %	70.4 <sup>64</sup>	London 95.0 (Jul 18 - Jun 19, Met Police)
Overall rate of burglary in Barnet	Smaller is Better	New for 19/20	Monitor	Monitor	27	New for 19/20	New for 19/20	London 24.7 (Jul 18 - Jun 19, Met Police)

## 12.5 Risks

12.5.1 There are two risks to delivery of the actions for this priority. These have been assessed at a low (1 to 3) and medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **CLL01 - Missed opportunities for early intervention (risk score 9).** A multi-agency secure information sharing system (ECINS) is in place to ensure timely sharing of information on ASB cases; and the Community Safety MARAC provides multi-agency oversight on behalf of the Safer Communities Partnerships Board. In addition, a new Information Sharing Agreement is being developed.
- **CLL02 - Under-utilisation of OWL system (risk score 3).** Lack of effective multi-agency oversight could lead to under-utilisation of the OWL system resulting in loss of interest by residents as a source of information on crime prevention and the Barnet Safer Communities Partnership. The OWL system has been promoted across the Safer Communities Partnership and feedback has been positive, with high participation.

Tackling anti-social behaviour and environmental crime

Q1  
Overall Performance  
Satisfactory

## 12.6 Summary of Actions Satisfactory progress

12.6.1 The proportionate use of Public Space Protection Orders (PSPOs) are part of Barnet's approach to tackling ASB. They are implemented alongside a range of multi-agency interventions to bring relief to neighbourhoods suffering from persistent and complex ASB problems. There are four PSPOs in place. The Barnet Safer Communities Partnership works with the Community Safety MARAC and JTAG (Joint Tasking and Action Group), which focuses on location based ASB issues.

<sup>61</sup> % increase on 2018/19

<sup>62</sup> Rolling 12 months to February 2019.

<sup>63</sup> Rolling 12 months to June 2019

<sup>64</sup> Rolling 12 months to May 2018



## 12.7 KPIs

12.7.1 There are four KPIs for this priority, which monitor ASB. Two KPIs met the Q1 targets. One KPI did not meet the Q1 target.

- **Volume of ASB calls to police – 8893 compared to 7855 last year.** There was a 10% increase in ASB calls to the Police in the 12 months up to June 2019. Overall London saw an average 5% increase. This increase has come after a number of year on year reductions, with the number of ASB reports still substantially lower than five years ago where the number of ASB calls to police was 12,244.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
PSPOs implemented	Bigger is Better	New for 19/20	3	3	4 (G)	New for 19/20	New for 19/20	No benchmark available
Volume of ASB calls to police	Smaller is Better	New for 19/20	7855 <sup>65</sup>	7855	8893 <sup>66</sup> (R)	↓ W +10%	8078	No benchmark available
Multi-agency action plans in place to address high impact ASB and environmental crime areas	Bigger is Better	New for 19/20	6	2	4 (G)	New for 19/20	New for 19/20	No benchmark available
Community engagement and communication campaigns delivered per year (Annual)	Bigger is Better	New for 19/20	2	2	Due Q4 19/20	New for 19/20	New for 19/20	No benchmark available

## 12.8 Risks

12.8.1 There are three risks to delivery of the actions for this priority. These have been assessed at a medium/low (4 to 6) and medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **CLL03 – Challenges to Public Space Protection Orders (PSPOs) (risk score 8).** A range of options are used to respond to emerging place based ASB issues, with a PSPO considered only after other options have been used and the issues persist. Oversight is provided by the Community Safety MARAC, Joint Tasking Group (JTAG) and the ASB Delivery Group. Extensive public consultation is carried out before implementing a PSPO.
- **CLL04 - Ineffective enforcement of PSPOs (risk score 6).** Multi-agency oversight of partnership activity is provided by JTAG and the ASB Delivery Group. This includes regular reviews of enforcement activity where PSPOs are in place.

<sup>65</sup> A 5% reduction vs. 2017/18 baseline of 8,268 calls.

<sup>66</sup> Rolling 12 months to June 2019.

- **CLL05 – Ineffective community engagement (risk score 6).** To ensure resources are targeted in areas with the most persistent and severe ASB, analysis is undertaken to join-up information across the Safer Communities Partnership. A Community Safety Strategic Assessment is being undertaken to analyse ASB patterns and trends and will be used to inform the refresh of the Community Safety Strategy. JTAG provides multi-agency oversight of ASB related analysis.

Celebrating diverse and strong communities and taking a zero-tolerance approach to hate crime	Q1
	Overall Performance
	Good

## 12.9 Summary of Actions Good progress

- 12.9.1 The Barnet Zero Tolerance to Hate Crime Project is part of the Barnet Safer Communities Partnership's commitment to working together to improve access to justice for victims of Hate Crime and making it easier for people to report Hate Crime and get the support they need. The project has been supported with funding secured from MOPAC and brings together the council, Police, Barnet Mencap and other VCS partners to increase the profile and reach of Barnet's Hate Crime Reporting Centres.
- 12.9.2 The nine Hate Crime Reporting Centres are spread across the borough at Barnet Homes, Your Choice Barnet, Barnet Mencap, Inclusion Barnet, Community Barnet, GALOP, Hft, Homeless Action Barnet and Community Security Trust. The Hate Crime Awareness Co-ordinator has created a point of contact for all Reporting Centres and VCS partners to come together to share information and resources, establish reporting procedures and referral pathways and provide a co-ordinated support service to victims and witnesses of Hate Crime. There is ongoing work to increase the number of Reporting Centres and encourage more residents to become Hate Crime Reporting Champions.
- 12.9.3 The Communities Together Network (CTN) is Barnet's forum for the council, Police, CCG and VCS to share information on issues relating to community participation, cohesion and safety. The theme this year is to promote Strong, Successful and Resilient Communities. A CTN meeting was held on 6 June at Unitas, Barnet's Youth Zone, focused on how community groups can help provide support in emergency situations.
- 12.9.4 A first digital version of the CTN Bulletin was emailed to 862 recipients on 24 May 2019. To further share information and activities with the VCS, a closed Facebook platform was launched on 17 June 2019 and has 117 active members.

## 12.10 KPIs

- 12.10.1 There are seven KPIs for this priority, which monitor hate crime. Five KPIs met the targets. Two KPIs did not meet the targets. One KPI is Monitor only and has fallen from last year.
- **Racist and religious hate crime – 774 hate crimes were reported** in the 12 months up to June 2019 compared to 719 last year. Hate Crime is considered to be under-reported and the Safer Communities Partnership continues to undertake communications campaigns to encourage reporting.
  - **Hate Crime Reporting Centres (RAG rated AMBER) – 9 against a target of 10 Hate Crime Reporting Centres to be open at any time in Barnet.** In Q1, the target was



slightly missed but the Barnet Zero Tolerance to Hate Crime Project plans to launch five new Hate Crime Reporting Centres this year.

- **Number of staff to receive training across the partnership (RAG rated RED) – 4 against a target of 25.** Since 2017 to date the Barnet Zero Tolerance to Hate Crime project has trained over 120 staff. While the number of staff to be trained in Q1 was low, the project is planning to train over 100 staff in 2019/20.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Racist and religious hate crime (r)	Smaller is Better	729 <sup>67</sup>	Monitor	Monitor	774	↓ W +7.6%	719	No benchmark available
Hate Crime Reporting Centres in Barnet	Bigger is Better	New for 19/20	10	10	9 (A)	New for 19/20	New for 19/20	No benchmark available
Residents signed up as Hate Crime Awareness Champions	Bigger is Better	New for 19/20	50	12	12 (G)	New for 19/20	New for 19/20	No benchmark available
Training sessions delivered across the partnership	Bigger is Better	New for 19/20	10	2	2 (G)	New for 19/20	New for 19/20	No benchmark available
Number of staff to receive training across the partnership	Bigger is Better	New for 19/20	100	25	4 (R)	New for 19/20	New for 19/20	No benchmark available
Number of Hate Crime Awareness workshops delivered	Bigger is Better	New for 19/20	5	2	3 (G)	New for 19/20	New for 19/20	No benchmark available
Number of CTN meetings held per year	Bigger is Better	New for 19/20	4	1	1 (G)	New for 19/20	New for 19/20	No benchmark available

## 12.11 Risks

12.11.1 There are two risks to delivery of the actions for this priority. These have been assessed at a medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **CLL06 – Lack of consistent communication (risk score 12).** Actions are planned throughout the year to encourage the reporting of hate crime. The Zero Tolerance to Hate Crime Project reports every six months to the Safer Communities Partnership Board
- **CLL07 - Hate Crime awareness training programme (risk score 8).** A failure across the partnership to give sufficient priority to engaging with the Hate Crime Awareness training programme could limit its effectiveness and harm the ability of the partnership

<sup>67</sup> Rolling 12 months to February 2019.

to provide a co-ordinated response to Hate Crime. Training attendance is monitored and reported every six months to the Safer Communities Partnership Board. A report is being prepared for CLL Committee with an update on the delivery of the Zero Tolerate to Hate Crime Project, which will include recommendations for next steps.

Focusing on the strengths of the community	Q1
	Overall Performance Satisfactory

## 12.12 Summary of Actions Satisfactory progress

12.12.1 Since contracts were awarded to Volunteering Barnet in August 2017 and Inclusion Barnet in November 2018, one-to-one sessions and workshops have been delivered to support the VCS sector. Work has progressed with Founders Fair, Employer Support Volunteering, and Volunteer Week to engage and increase the number of volunteers. Volunteering opportunities have been promoted through a variety of outreach events, social media, Facebook and through the CTN.

## 12.13 KPIs

12.13.1 There are five KPIs for this priority, which monitor community engagement. Three KPIs met the Q1 targets. Two KPIs are annual and will be reported in Q3.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Residents who agree that people pull together to help improve the area (Annual <sup>68</sup> )	Bigger is Better	51% (Autumn 17)	54%	54%	Due Q3 19/20	No RPS 18/19	No RPS 18/19	No benchmark available
Number of hours of 121 surgeries	Bigger is Better	New for 19/20	36	9	9 (G)	New for 19/20	New for 19/20	No benchmark available
Number of Funders Fairs	Bigger is Better	New for 19/20	2	1	1 (G)	New for 19/20	New for 19/20	No benchmark available
Residents who volunteer at least once a month (Annual <sup>69</sup> )	Bigger is Better	30 (Autumn 17)	33%	33%	Due Q3 19/20	No RPS 18/19	No RPS 18/19	No benchmark available
Number of new residents registering to be a volunteer	Bigger is Better	New for 19/20	750	187	218 (G)	New for 19/20	New for 19/20	No benchmark available

## 12.14 Risks

12.14.1 There are two risks to delivery of the actions for this priority. These have been assessed at a medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

<sup>68</sup> Annual KPI from the Residents' Perception Survey (RPS).

<sup>69</sup> Annual KPI from the Residents' Perception Survey (RPS).

- **G&C050 - Availability of resources to the voluntary sector (risk score 9).** The voluntary sector is supported through partnership activity. Strategic plans have been aligned where possible and regular Partnership Board meetings are held to discuss activities.
- **G&CS051 - Working with the Voluntary Community Faith Sector (VCFS) (risk score 9).** If working relationships across the partnership are not effective it could affect the efficacy of the support received from the VCSF sector. As above, strategic plans have been aligned where possible and regular Partnership Board meetings are held discuss activities. A lead officer has been appointed to focus on strengthening partnerships with the VCFS.

## Escalations from CLL Committee

### **12.15 Escalated KPIs and/or Risks**

12.15.1 There were no escalations in relation to CLL Committee priorities.

### 13. POLICY AND RESOURCES (P&R) COMMITTEE

13.1 P&R Committee has six **committee priorities**, which were set out in the **P&R Committee Annual Delivery Plan**. This was approved on 20 February 2019 and can be found online at:

<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=9461&Ver=4>

13.2 An update on these **committee priorities** is provided in **Appendix C**. Any KPIs that have not met target and/or high (15 to 25) level risks are escalated for review below.

#### Escalations from P&R Committee

#### 13.3 Escalated KPIs and/or Risks

13.3.1 There are five KPIs for the Ensuring we have strong financial management priority. Four KPIs are Monitor only for Q1 (see Appendix C). One KPI did not meet the Q1 target.

- **Implemented high and medium audit recommendations relating to fundamental financial systems (RAG rated RED) – 50% against a target of 90%.** Three of six high audit recommendations relating to finance were implemented in Q1. The outstanding audit recommendations relate to Pension Administration, Bankline Access and Schools Payroll. Revised target dates within Q2 have been agreed and implementation will be confirmed by Internal Audit in August and September 2019.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Implemented high and medium audit recommendations relating to fundamental financial systems	Bigger is better	New for 19/20	90%	90%	50% <sup>70</sup> (R)	New for 19/20	New for 19/20	No benchmark available

13.3.2 There were four *service risks* for the **Ensuring we have strong financial management** priority that were scored at a high (15 to 25) level in Q1.

- **FIN001 - Impact of political uncertainty on Finances (risk score 20).** This was a new risk for Q1. The uncertainty of the national and regional political landscape, legislative changes and local government funding changes that affect council services could lead to further reduction of the multi-year budget. The Council Management Team has identified actions to help mitigate the existing overspend such as actively managing budgets in line with financial regulations. Action plans for savings are currently being developed and are expected by July 2019.
- **FIN002 - Implementation of 2019/20 savings (risk score 20).** If the MTFs savings identified for 2019/20 are not fully implemented this could lead to non-achievement of MTFs targets and an overspend on the revenue budget. Monthly budget monitoring processes are in place to supervise the budget, Budget monitoring with Finance partners and reporting progress on implementation and risks to CMT and Policy and Resources Committee throughout 2019/20. Following the insourcing of Strategic

<sup>70</sup> The result relates to high audit recommendations only in Q1.

Finance on 1 April 2019 and refresh of the strategic risk register, this risk was moved from the strategic risk register to the Finance risk register.

- **FIN003 - Financial controls (risk score 15).** Ineffective internal controls, governance arrangements, or policies and procedures could lead to an increased risk of the council being unable to prevent an incident of organised or high value fraud, bribery or corruption. Following a review of internal controls in 2018 by Grant Thornton, an action plan was developed. Testing of the action plan has been ongoing with monitoring occurring in June 2019. Following the insourcing of Strategic Finance on 1 April 2019 and refresh of the strategic risk register, this risk was moved from the strategic risk register to the Finance risk register.
- **G&C053 - Commercial viability of strategic suppliers (risk score 15).** The risk has been transferred from the strategic risk register following its refresh and relates to the commercial viability of a strategic suppliers. This risk is being managed using the contract management framework and policy/procedures for commercial activity. Contract monitoring takes place monthly with quarterly reporting to the Financial Performance and Contracts (FPC) Committee. The contract register is kept under review with checks on the financial status of strategic suppliers. The council is continuing to collate relevant information should it be necessary to take over any services on short notice with additional information collated following the insourcing of Finance and Strategic HR on the 1 April 2019. Client Leads continue to ensure business continuity plans are in place for critical services.

13.3.3 There are five KPIs for the **Continuing to improve customer services** priority. Three KPIs met the Q1 target – satisfaction with customer services; web and phone volumes (see Appendix C). One KPI was not reported in Q1. One KPI did not meet the Q1 target.

- **Satisfaction with the council’s website – 31% against a target of 55%.** This KPI was below target in Q1 whilst other web performance measures showed an improvement. There was a continued upward trend of web usage and online transactions being completed, the web content quality score (rating on readability, completeness, user experience and security) increased to 95% (compared to 85% nationally) and there was no downtime on the website in Q1. A detailed analysis of web satisfaction data was conducted to understand this disparity. Statistically the usage has decreased and only represents a 0.3% sample of customers visiting the site. Although the feedback left can be useful to ensure continual improvement, it is difficult to gain meaningful assessment of the overall performance of the website from this measure.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Satisfaction with the council’s website	Bigger is Better	32%	55%	55%	31% (R)	↓ W -5%	32%	No benchmark available

13.3.4 There was a *service risk* for the **Being resilient as a local authority** priority that was scored at a high (15 to 25) level in Q1.

- **AG020 - Audit actions not implemented (risk score 16).** If audit actions are not implemented this could lead to a deterioration in the council's control environment and

result in the Head of Internal Audit providing a Limited Assurance Annual Opinion. Performance at the end of Q1 was 73% of high priority actions were completed by the deadline. This was below the target of 90% and it is a deterioration on the performance in Q4, when 82% of actions were confirmed as implemented. The risk score remains unchanged until there is a guarantee that the implementation of audit actions is sustainable and consistent.

## **14 REASONS FOR RECOMMENDATIONS**

14.1 These recommendations are to provide the Committee with relevant budget, performance and risk information in relation to the corporate and committee priorities in the Corporate Plan (Barnet 2024) and P&R Committee Annual Delivery Plan. This paper enables the council to meet the budget agreed by Council in March 2019.

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

15.1 None.

## **16 POST DECISION IMPLEMENTATION**

16.1 None.

## **17 IMPLICATIONS OF DECISION**

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

17.1.1 The report provides an overview of performance for Q1 2019/20, including budget forecasts, savings, progress on actions, KPIs and risks.

17.1.2 The Q1 2019/20 results for all Corporate Plan and Delivery Plan KPIs are published on the Open Barnet portal at <https://open.barnet.gov.uk/dataset>

17.1.3 Robust budget, performance and risk monitoring are essential to ensure that there are adequate and appropriately directed resources to support delivery and achievement of corporate and committee priorities as set out in the Corporate Plan (Barnet 2024) and Annual Delivery Plans.

17.1.4 Relevant council strategies and policies include the following:

- Medium Term Financial Strategy
- Corporate Plan (Barnet 2024)
- P&R Committee Annual Delivery Plan
- Performance and Risk Management Frameworks.

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

17.2.1 The budget forecasts are included in the report. More detailed information on financial performance is provided to Financial Performance and Contracts (FPC) Committee.

### **17.2 Social Value**

17.3.1 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. The council's contract management framework oversees that contracts deliver the expected services to the expected quality for the agreed cost. Requirements for a contractor to deliver activities in line with Social Value will be monitored through this contract

management process.

## **17.4 Legal and Constitutional References**

17.4.1 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 to take actions which are calculated to facilitate, or are conducive or incidental to, the discharge of any of their functions.

17.4.2 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. The definition as to whether there is deterioration in an authority’s financial position is set out in section 28(4) of the Act.

17.4.3 The council’s Constitution, Article 7 Committees, Forums, Working Groups and Partnerships, sets out the functions of the Policy and Resources Committee:

(1) To be responsible for:

- Strategic policy, finance and corporate risk management including recommending: Capital and Revenue Budget; Medium Term Financial Strategy; and Corporate Plan to Full Council
- Finance including: Treasury management Local taxation; Insurance; Corporate procurement; Grants; Writing-off debt; Virements; Effective use of resources
- Procurement Forward Plan
- Local Plans (except for matters reserved to Full Council)
- Information Technology
- Strategic Partnerships
- Customer Services and Resident Engagement
- Emergency Planning

(2) To be responsible for those matters not specifically allocated to any other committee affecting the affairs of the Council.

(3) Consider for approval budget and business plan of the Barnet Group Ltd.

(4) To determine fees and charges for services which are the responsibility of the committee.

17.4.4 The council’s Financial Regulations can be found at:

<http://barnet.moderngov.co.uk/documents/s46515/17FinancialRegulations.doc.pdf>

## **17.5 Risk Management**

17.5.1 The council has an established approach to risk management, which is set out in the Risk Management Framework. Risks are reviewed quarterly (as a minimum) and any high (15 to 25) level risks are reported to the relevant Theme Committee and Policy and Resources Committee. The strategic risks and all high (15 to 25) level risks associated with the priorities for this Committee are outlined in the report.

## **17.6 Equalities and Diversity**

17.6.1 Section 149 of the Equality Act 2010 sets out the Public Sector Equality Duty which



requires a public authority (or those exercising public functions) 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 persons who share a relevant protected characteristic and persons who do not.
- Fostering of good relations between persons who share a relevant protected characteristic and persons who do not.

17.6.2 The broad purpose of this duty is to integrate considerations of equality into everyday business and keep them under review in decision making, the design of policies and the delivery of services. The protected characteristics are: age; disability; gender reassignment; marriage and civil partnership, pregnancy and maternity; race; religion or belief; sex and sexual orientation; marriage and civil partnership.

17.6.3 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.

17.6.4 This is set out in the council's Equalities Policy, which can be found on the website at: <https://www.barnet.gov.uk/your-council/policies-plans-and-performance/equality-and-diversity>

## **17.7 Corporate Parenting**

17.7.1 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 implications for Corporate Parenting in relation to this report.

## **17.8 Consultation and Engagement**

17.8.1 Consultation on the new Corporate Plan (Barnet 2024) was carried out in the summer 2018. The Corporate Plan was approved by Council in March 2019.

## **17.9 Insight**

17.9.1 The report identifies key budget, performance and risk information in relation to the Corporate Plan (Barnet 2024).

## **18 BACKGROUND PAPERS**

18.1 Council, 5 March 2019 – approved Corporate Plan (Barnet 2024)  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=9456&Ver=4>

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Developed as a part of the collaborative **Data to Intelligence Project** between Waltham Forest Council, Hackney Council, Tower Hamlets Council, and Ofsted



# Children's services Analysis Tool (ChAT)

Based on Ofsted's ILACS Annex A dataset (2019)

## Barnet

10 June 2019

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Headline figures

**Contacts**

Contacts in the last 6 months 8,960

**Early Help / Common / Targeted Assessments**

Early Help in the last 6 months 1,432

**Referrals**

Referrals in the last 6 months 1,516

**Social Care Assessments**

Total assessments in the last 6 months 2,135

Assessments completed in the last 6 months 1,747

Ongoing assessments 388

**Section 47 enquiries and Initial Child Protection Conferences (ICPCS)**

Section 47 enquiries in the last 6 months 411

ICPCs that started from an S47 in the last 6 months 101

**Children in Need (CIN)**

Total CIN in the last 6 months 3,264

CIN started in the last 6 months 1,532

CIN ceased in the last 6 months 1,581

Current children in need (snapshot) 1,683

**Child Protection Plans (CPP)**

Total CPP in the last 6 months 281

CPP started in the last 6 months 112

CPP ceased in the last 6 months 104

Current children subject of a child protection plan (snapshot) 177

**Children Looked After (CLA)**

Total CLA in the last 6 months 396

CLA started in the last 6 months 76

CLA ceased in the last 6 months 70

Current children looked after (snapshot) 326

**Care leavers**

Care leavers currently in receipt of leaving care services 289

**Adoptions**

Children adopted, waiting to be adopted, or had an adoption decision reversed in the last 12 months 27

Children adopted in the last 12 months 12

Children waiting to be adopted (snapshot) 14

Children with decision reversed in the last 12 months 0

**Adopters**

Prospective adopters in the last 12 months 55

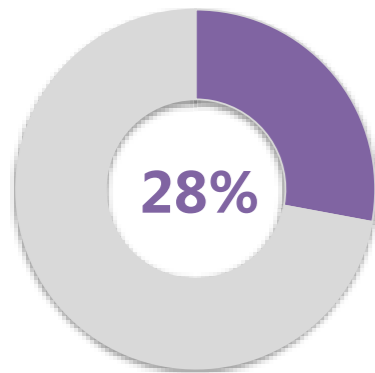
## Contacts in the last 6 months

from 11/12/2018  
to 10/06/2019

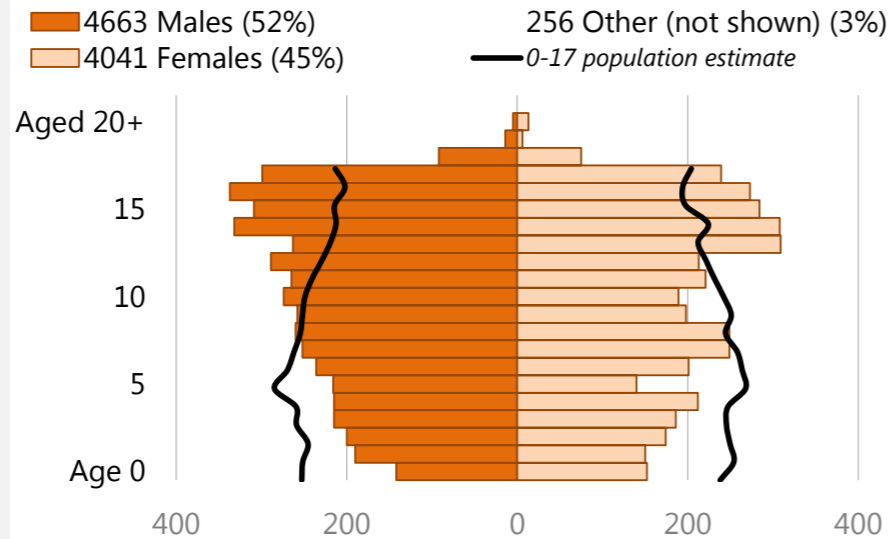
**8960 contacts**

### Contacts that also appear on the Referrals list

Yes No



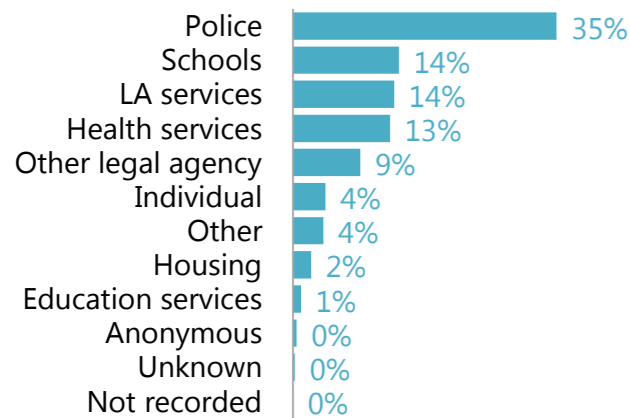
### Age and gender



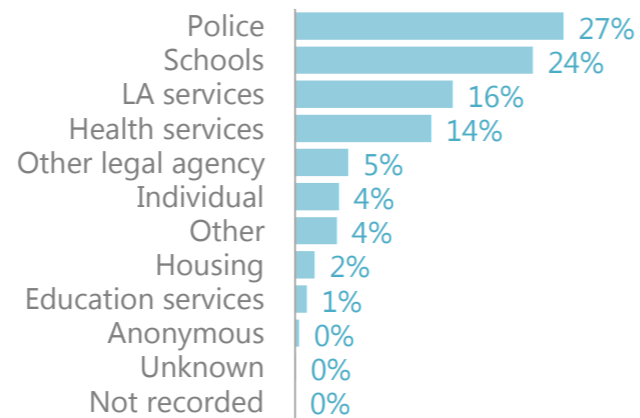
Other' includes not recorded, not stated, or neither M/F

### Source of contacts compared to source of referrals

#### Contact source



#### Referral source comparison



### Children with multiple contacts in period



### Ethnic backgrounds

White	30%
Mixed	12%
Asian or Asian British	5%
Black or black British	15%
Other ethnic group	11%
Not stated	23%
Not recorded	1%

See page 20 for comparisons

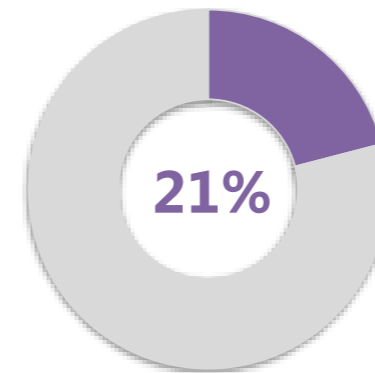
## Early Help in the last 6 months

from 11/12/2018  
to 10/06/2019

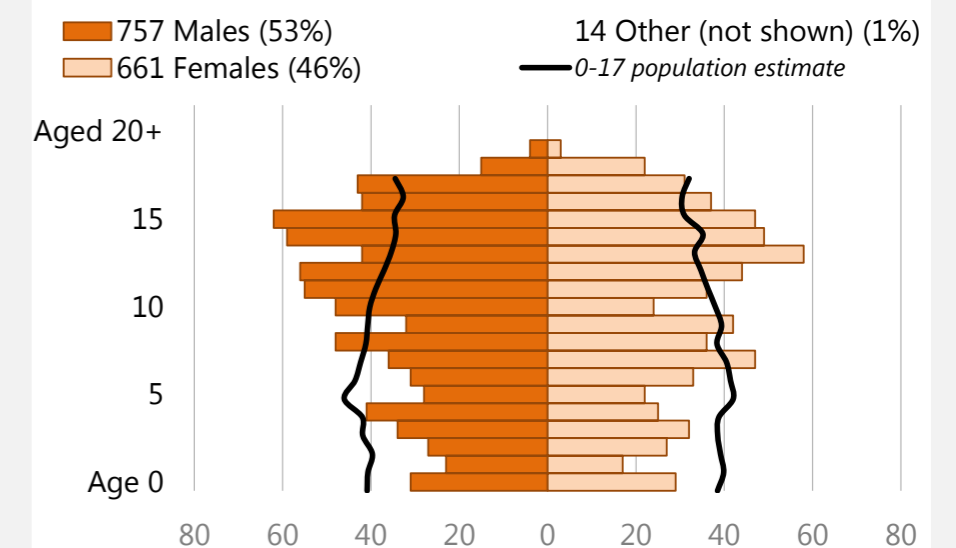
**1432 Early Help / Common / Targeted Assessments**

### Early Help cases that also appear on the Referrals list

Yes No

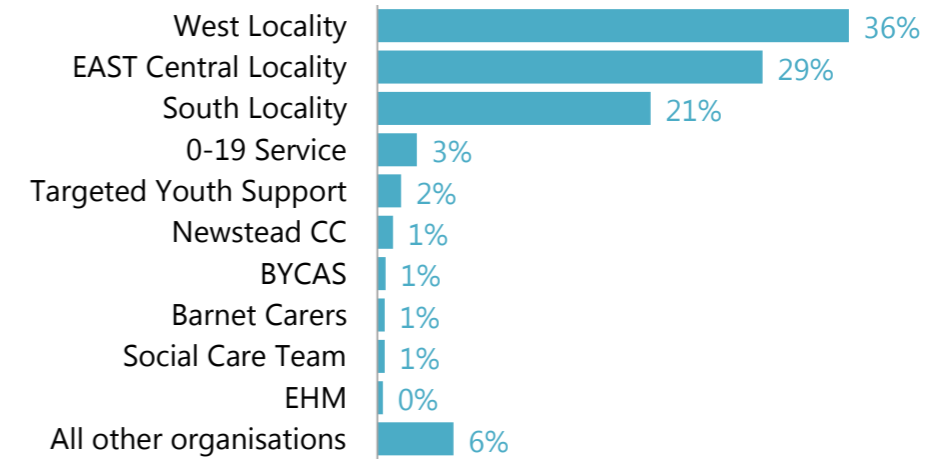


### Age and gender

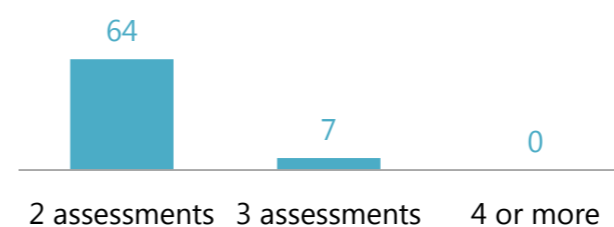


Other' includes not recorded, not stated, or neither M/F

### Organisation completing assessment



### Children with multiple records in period



### Ethnic backgrounds

White	40%
Mixed	13%
Asian or Asian British	6%
Black or black British	16%
Other ethnic group	14%
Not stated	8%
Not recorded	1%

See page 20 for comparisons

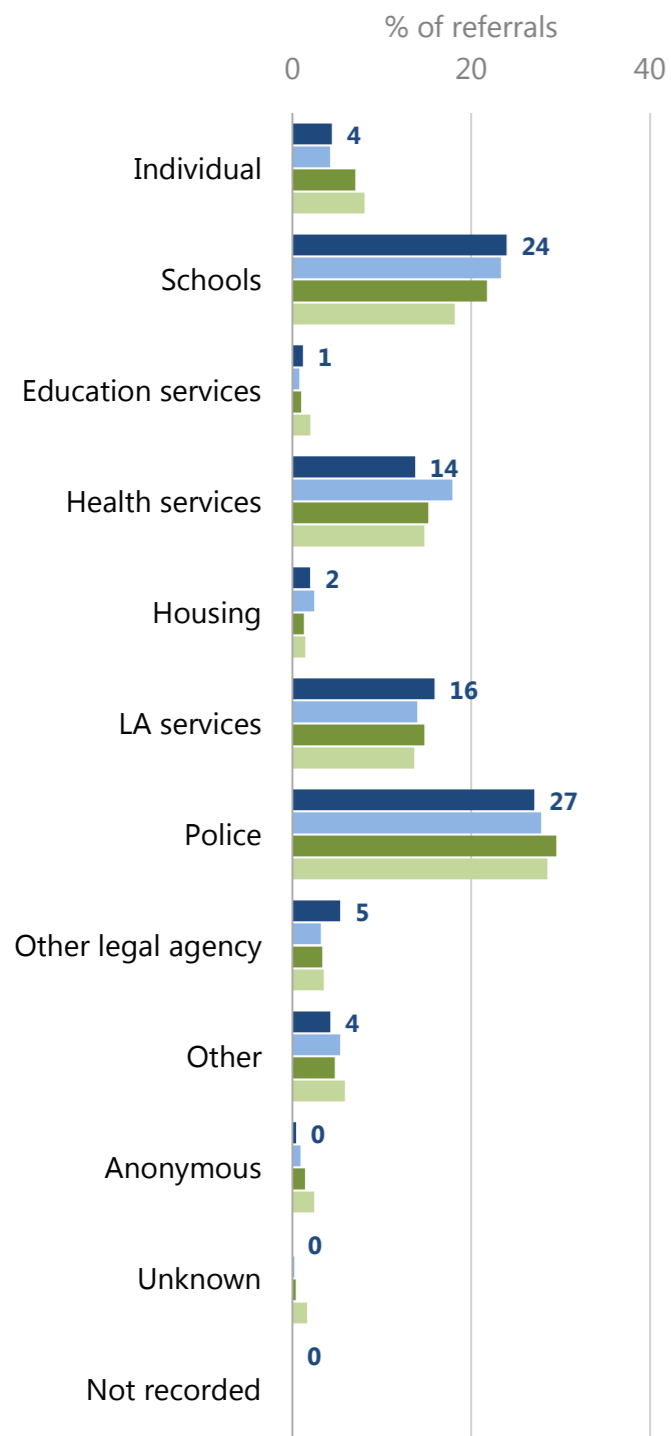
## Referrals in the last 6 months

from 11/12/2018  
to 10/06/2019

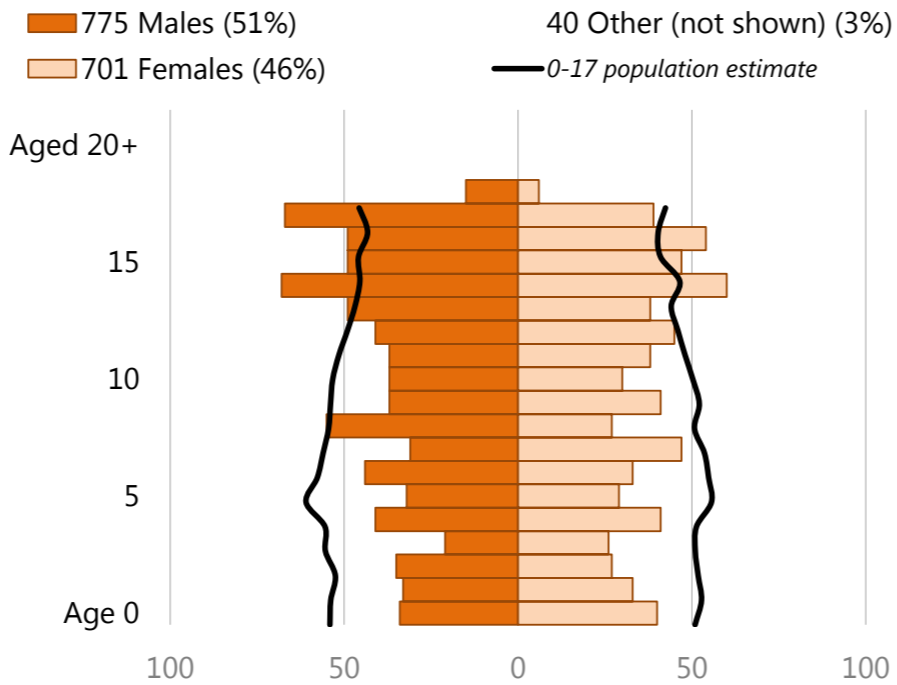
### 1516 referrals

#### Source of referral

■ Last 6 months ■ LA 17-18 ■ SNs 17-18 ■ Eng 17-18



#### Age and gender



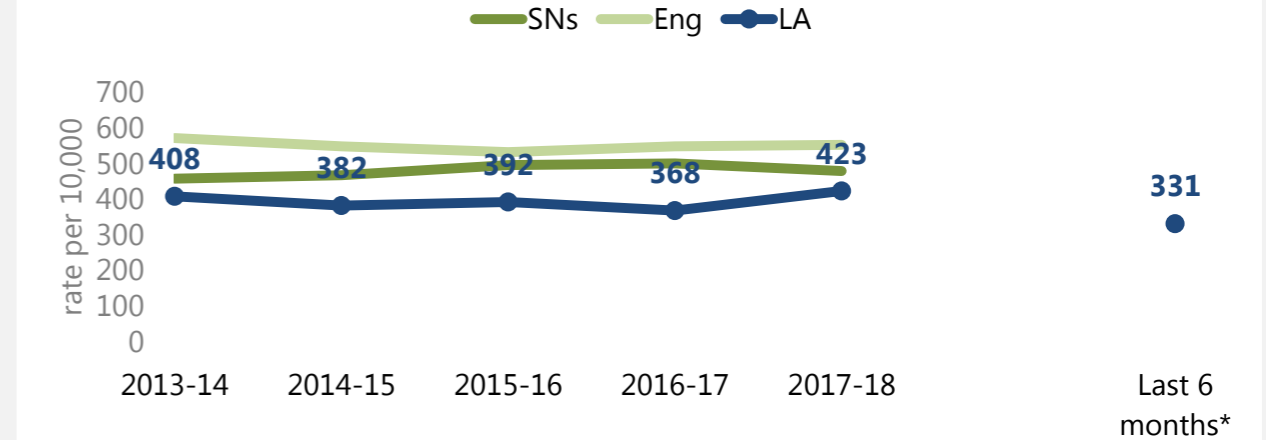
Other' includes not recorded, not stated, or neither M/F

#### Ethnic backgrounds

White	33%
Mixed	13%
Asian or Asian British	7%
Black or black British	21%
Other ethnic group	15%
Not stated	10%
Not recorded	0%

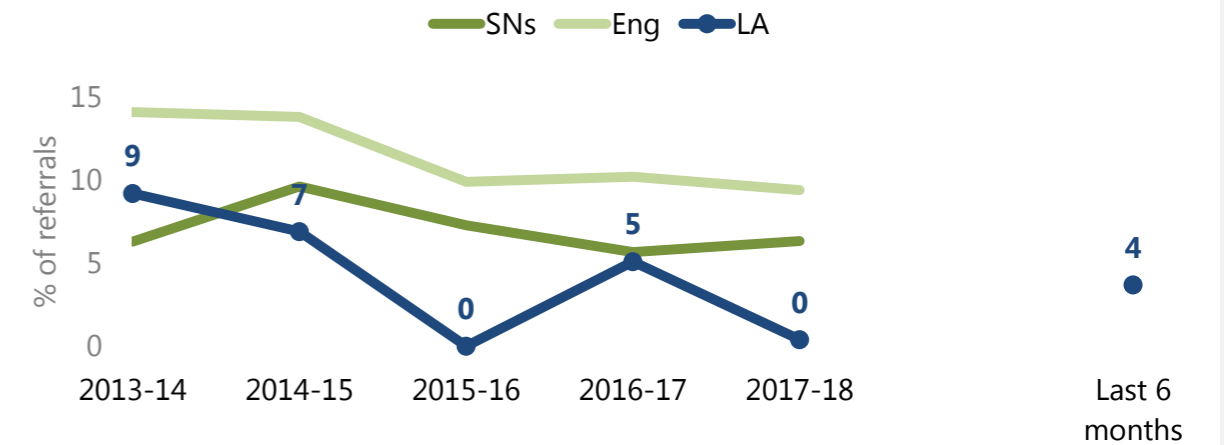
See page 20 for comparisons

#### Rate of referrals per 10,000 children aged 0-17



\*Annualised rate for comparison purposes

#### Referrals with No Further Action (NFA)

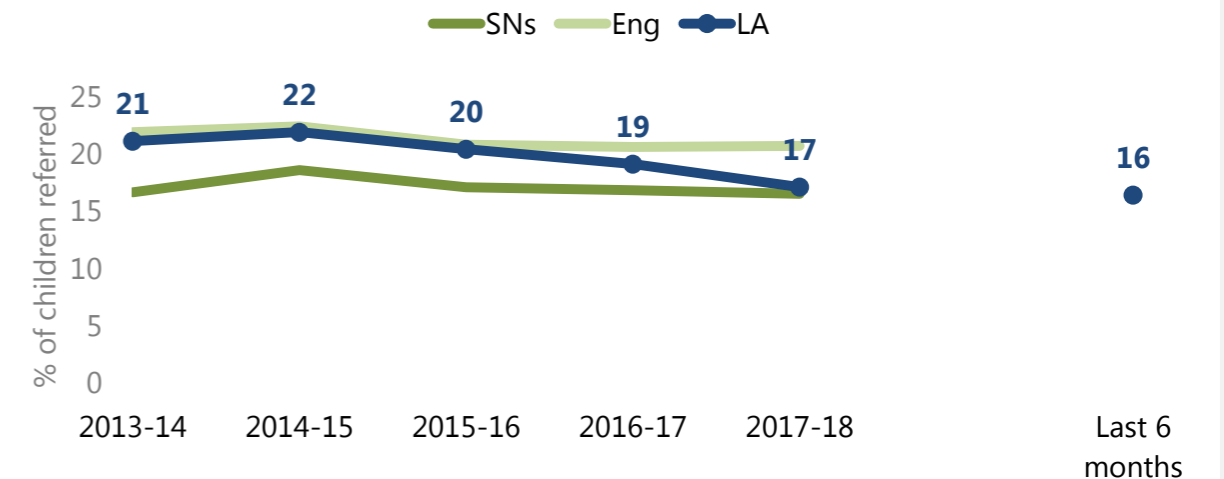
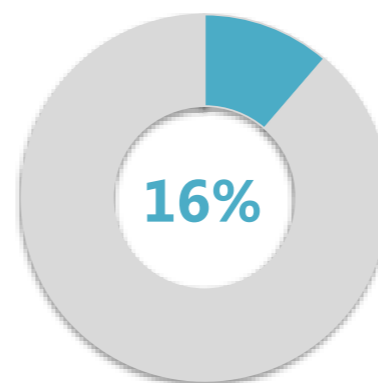


#### Re-referrals: children with a previous referral within 12 months of their latest referral

239 children with previous referrals within 12 months of latest referral

■ Re-referral ■ First referral ■ Not recorded

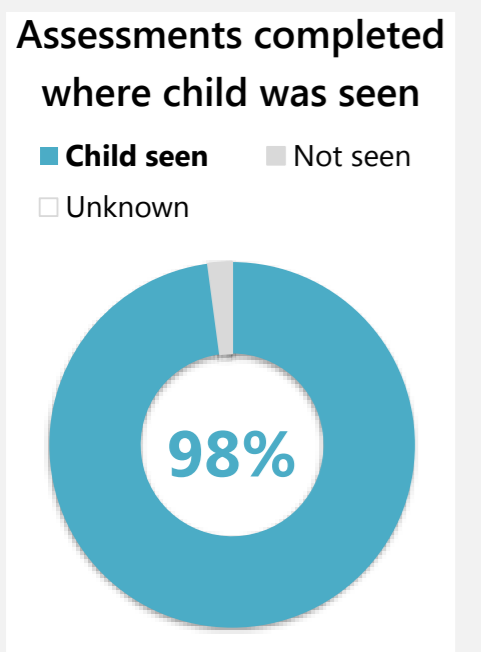
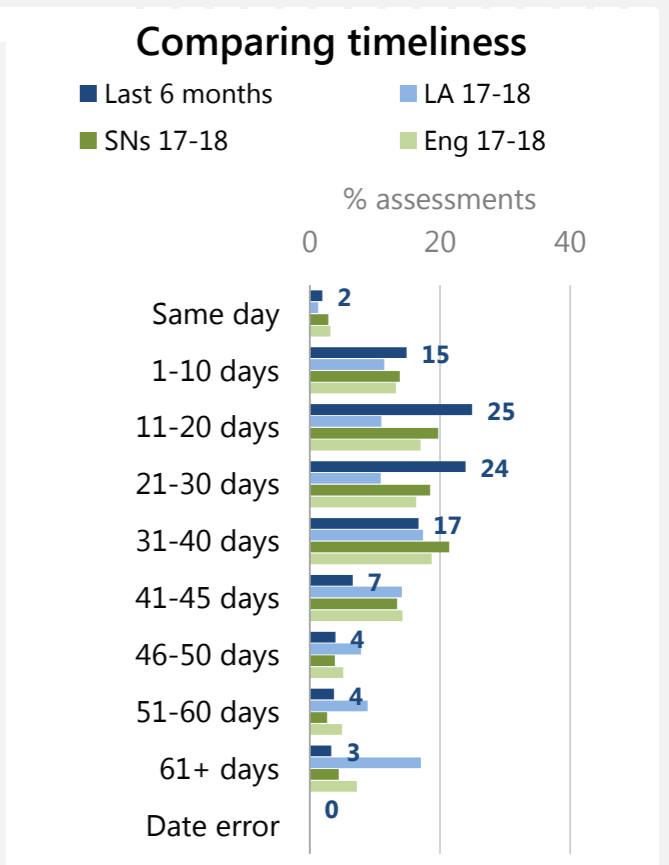
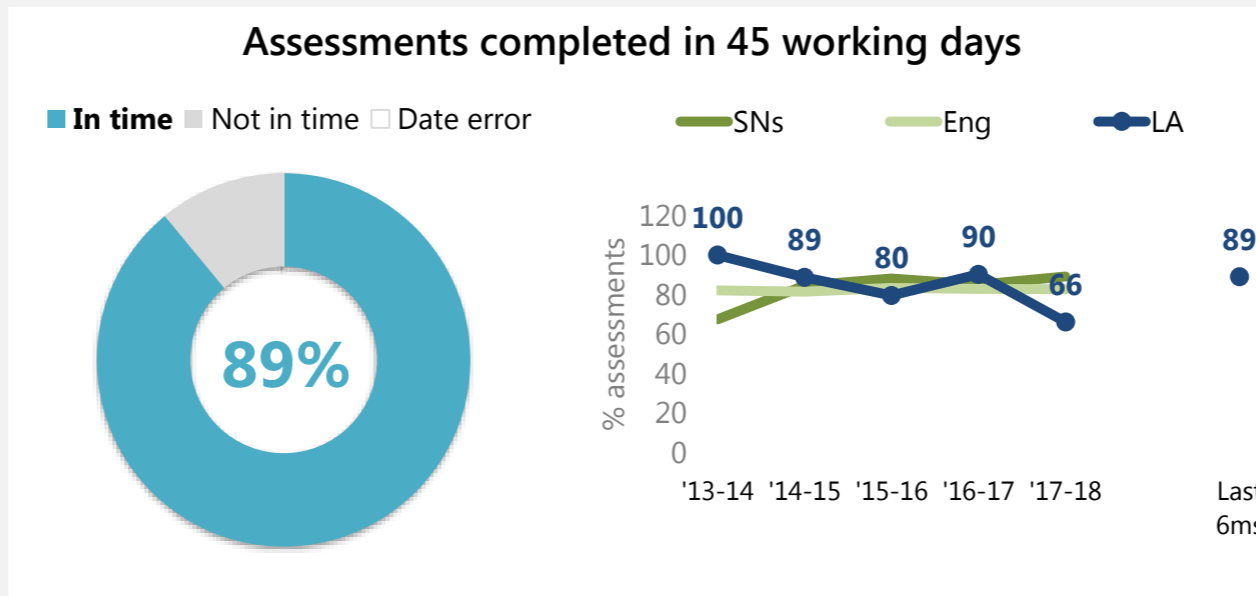
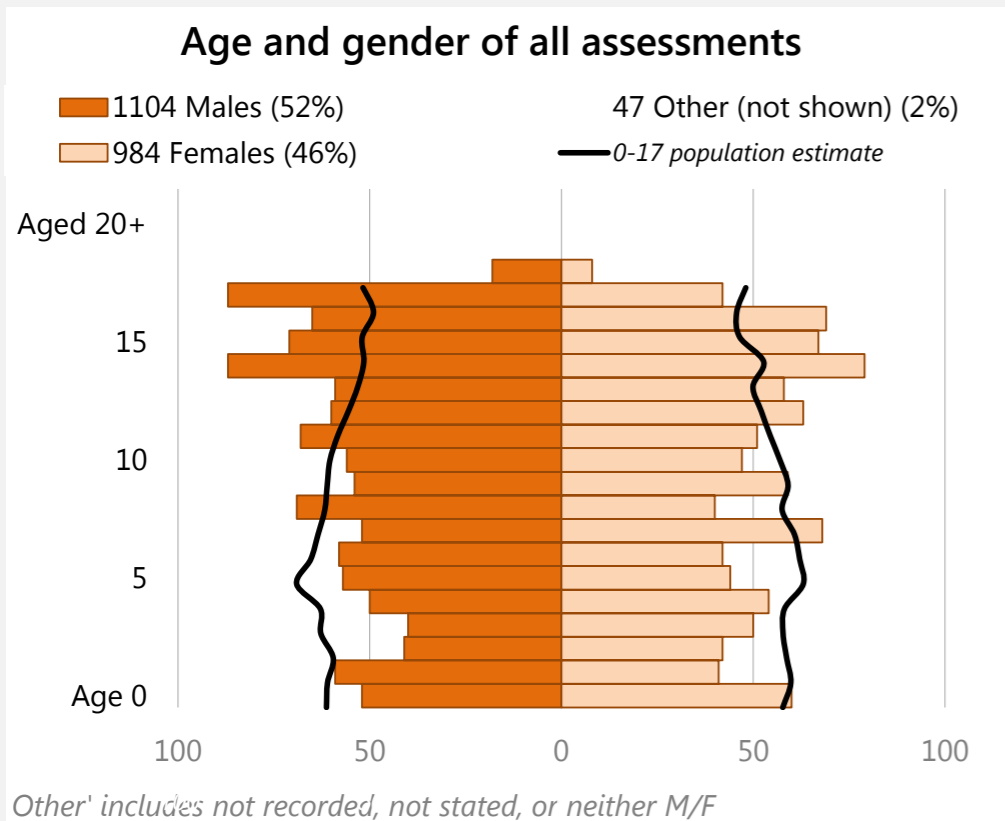
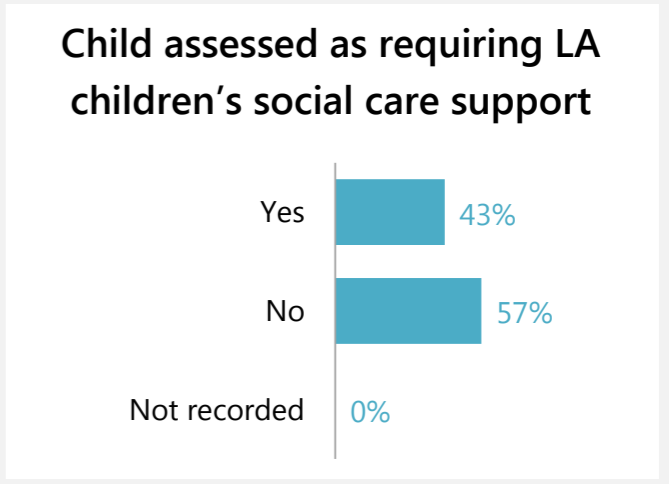
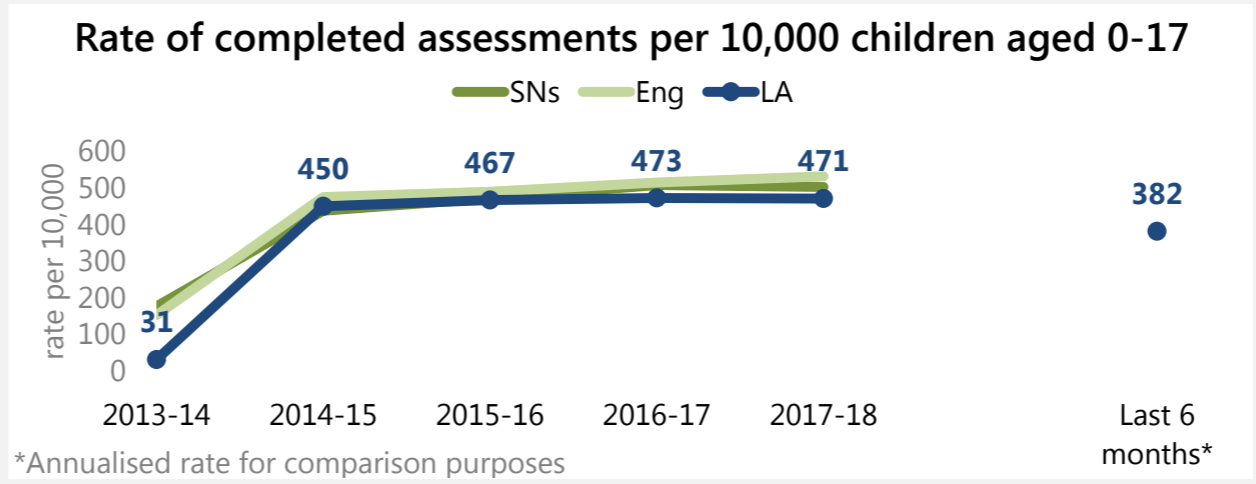
First referral	1,218
1 prev referral	212
2 prev referrals	27
3 prev referrals	0
4+ prev referrals	0
Not recorded	0



Assessments in the last 6 months

from 11/12/2018  
to 10/06/2019

2135 total assessments  
388 open assessments  
**1747 completed assessments**

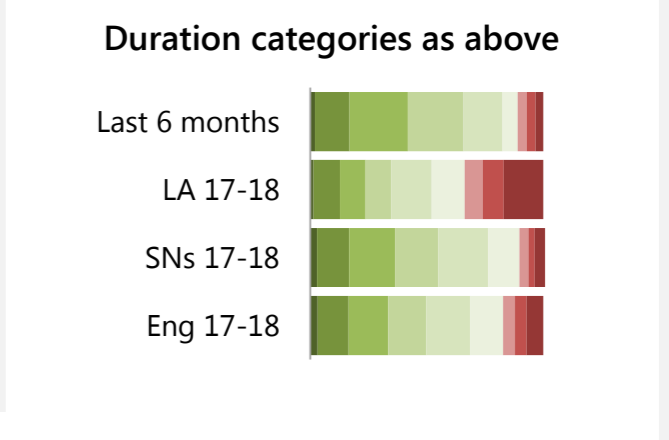
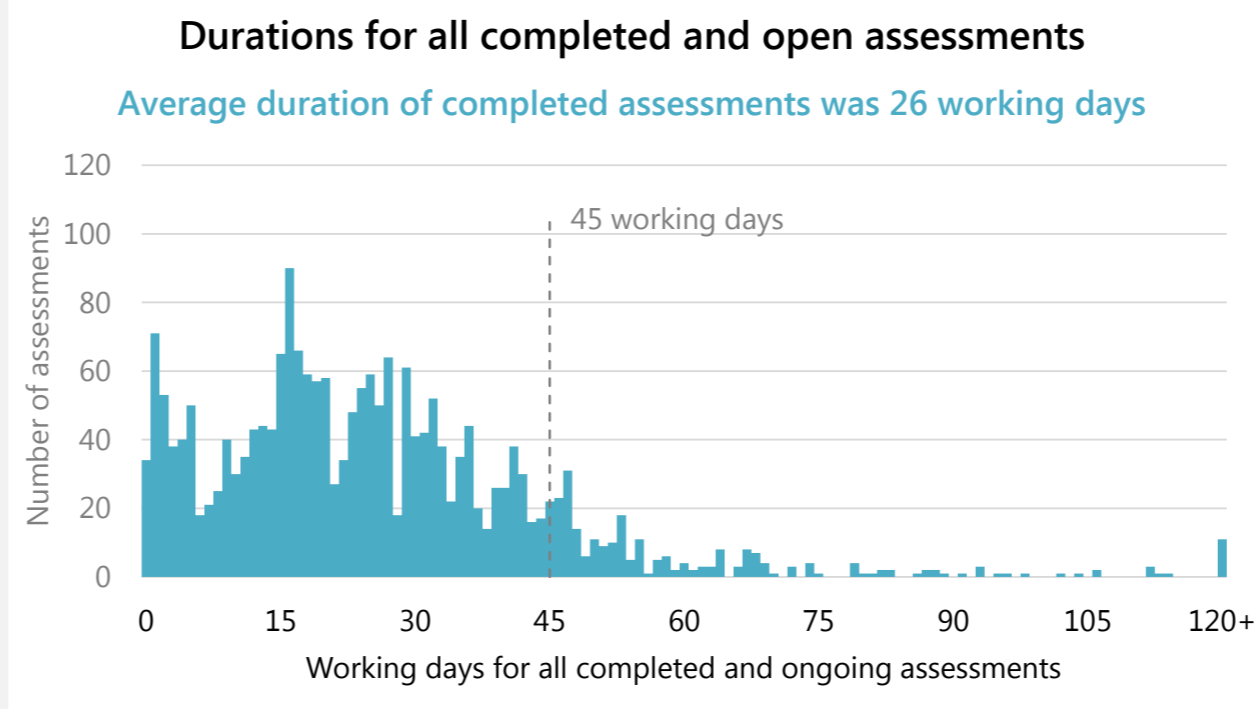


### Ethnic background

White	36%
Mixed	15%
Asian or Asian British	7%
Black or black British	21%
Other ethnic group	14%
Not stated	5%
Not recorded	0%

See page 20 for comparisons

95 assessments (4%) for children with a disability



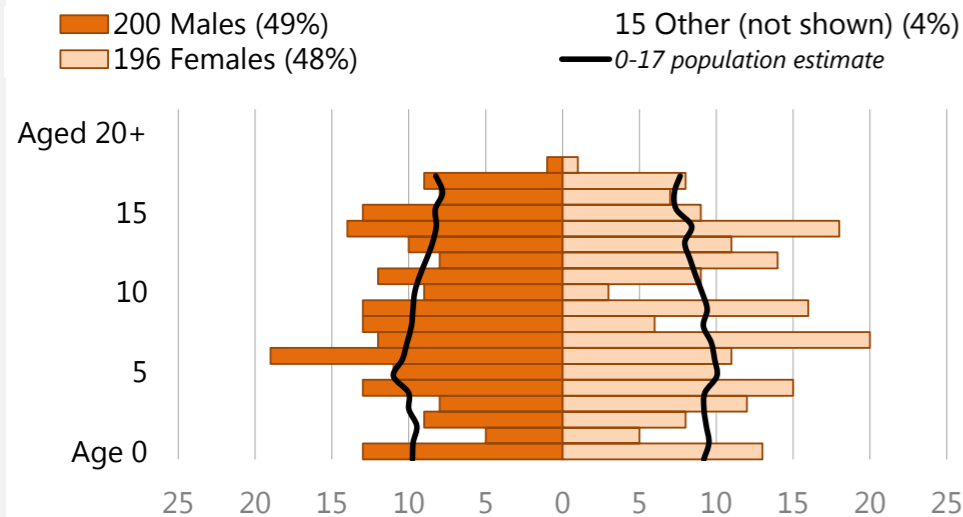


Section 47 enquiries in the last 6 months

from 11/12/2018  
to 10/06/2019

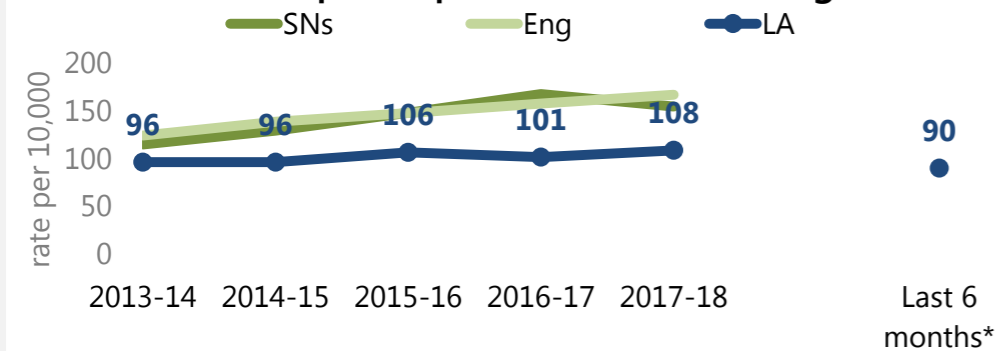
411 Section 47 enquiries

Age and gender



Other' includes not recorded, not stated, or neither M,/F

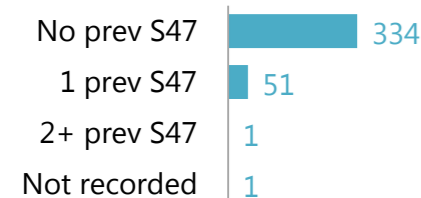
Rate of S47 enquiries per 10,000 children aged 0-17



\*Annualised rate for comparison purposes

18 S47s (4%) for children with a disability

Children with a repeat S47 within 12 months of latest



Ethnic background

White	29%
Mixed	16%
Asian or Asian British	7%
Black or black British	25%
Other ethnic group	16%
Not stated	4%
Not recorded	0%

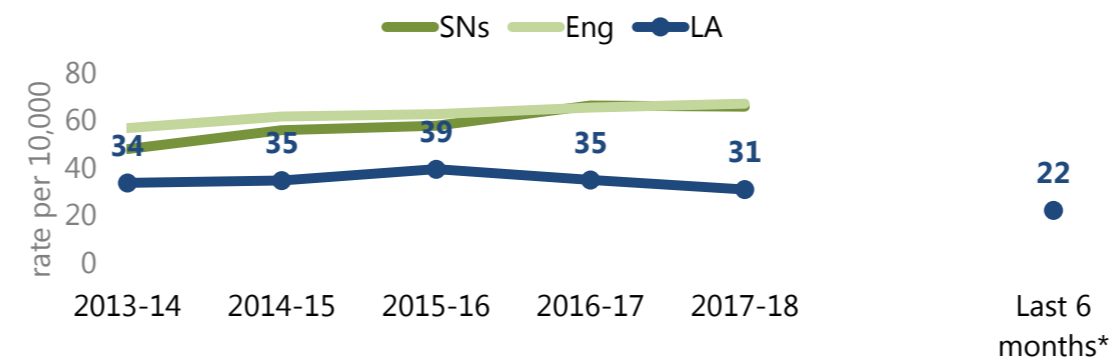
See page 20 for comparisons

101 Initial Child Protection Conferences (from S47 in period)

70% of completed S47s **did not require an ICPC**

ICPC not required may include S47s for open CPP where ICPC was not required, and may exclude children where an ICPC was required but has not yet occurred

Rate of ICPCs per 10,000 children aged 0-17



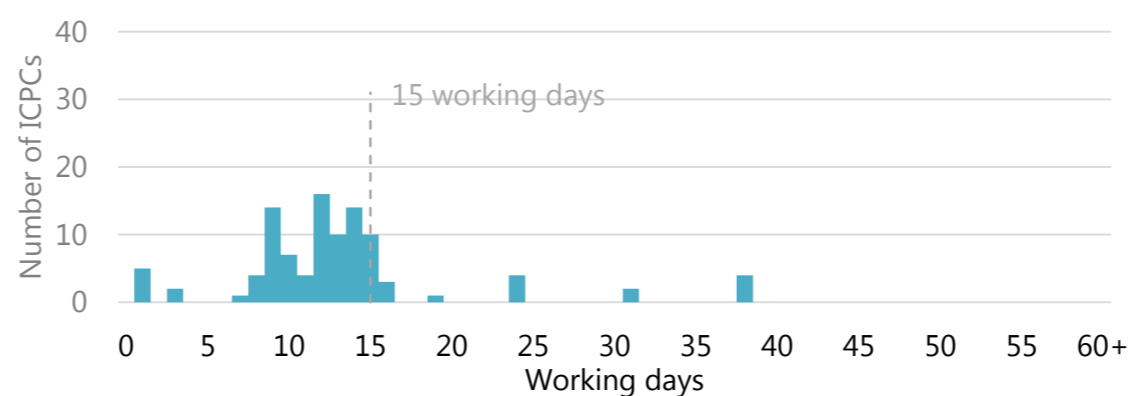
\*Annualised rate for comparison purposes

5 child(ren) with a repeat ICPC within 12 months of latest

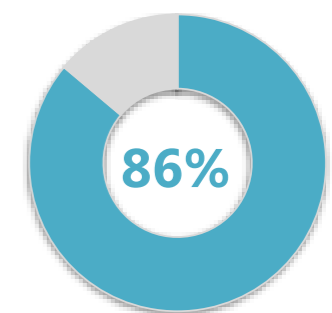
93%

of ICPCs resulted in a child protection plan

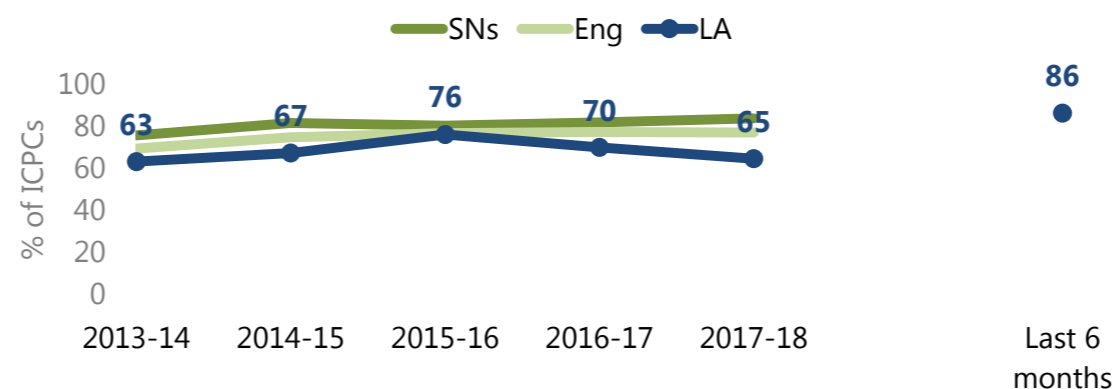
ICPCs occurred within 15 working days of the strategy discussion date



In time  
Not in time  
Date error

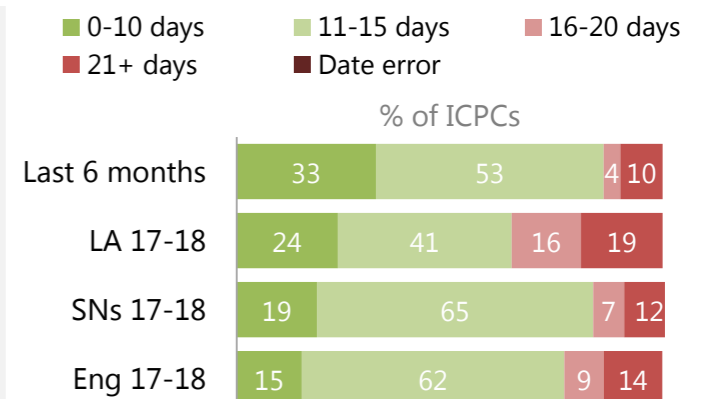


Trend of ICPC timeliness (within 15 days of S47 start)



Last 6 months

Comparing ICPC durations



Children in Need (CIN) - total, started, and ceased in the last 6 months

from 11/12/2018  
to 10/06/2019

### 3264 total CIN in 6 months\*

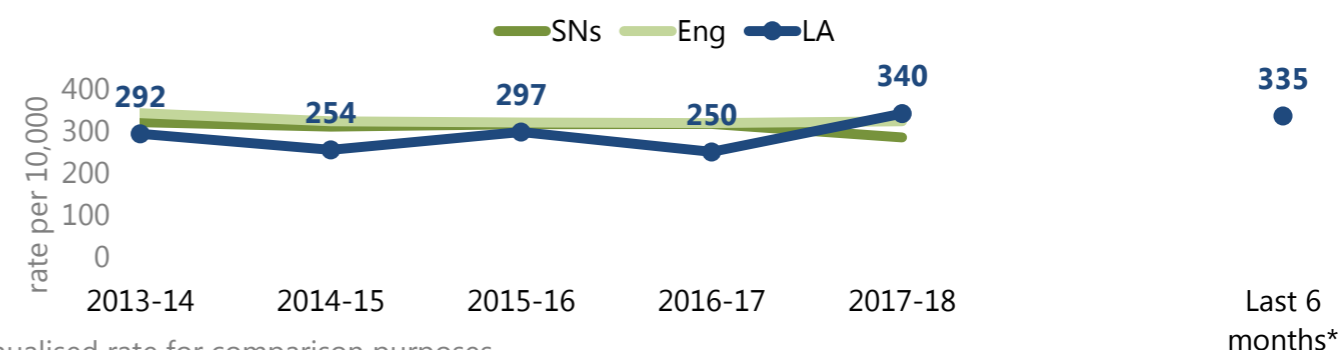
**\*Note: the numbers of children in need reported in ChAT are not directly comparable to published CIN census statistics due to an undercount of referrals and care leavers.**

The children in need census includes any child referred to children's social care services in the year as well as any open case for whom the local authority was providing services. Ofsted's Annex A List 6 largely covers this cohort, with the exception of those with only an open referral and those accessing leaving care services.

For this reason the published children in need census statistics are not directly comparable to ChAT, however there is considerable overlap with ChAT undercounting the true value as it excludes open referrals and care leavers.

### 1532 CIN started in 6 months

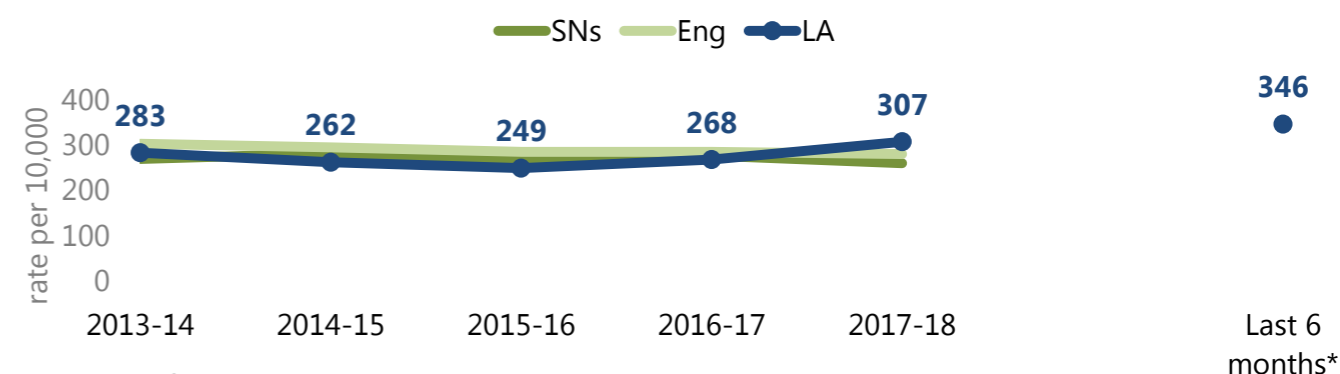
Rate of children who started an episode of need per 10,000 children aged 0-17



\*Annualised rate for comparison purposes

### 1581 CIN ceased in 6 months

Rate of children who ended an episode of need per 10,000 children aged 0-17

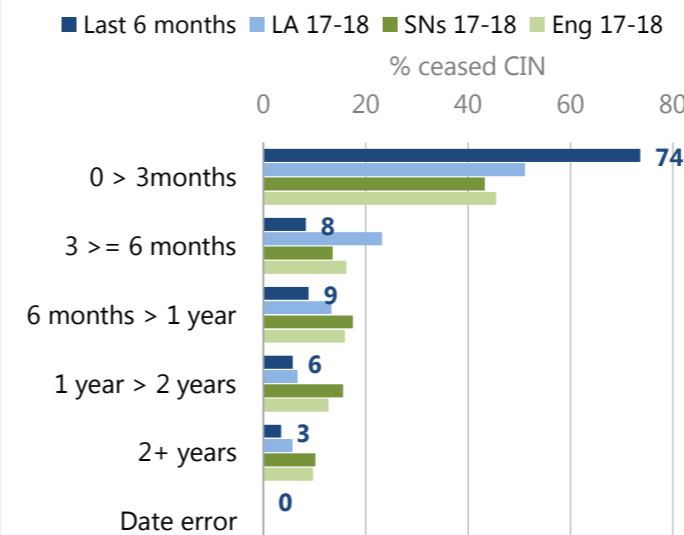


\*Annualised rate for comparison purposes

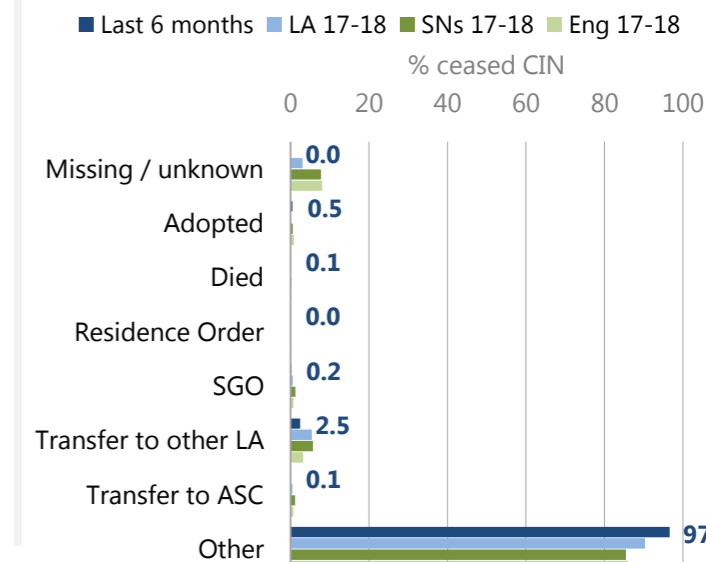
#### Cases included in Annex A / ChAT

Case status of children on CIN list	Number	Percentage
Looked after child	312	10%
Child protection plan	174	5%
Child in need plan	563	17%
Open assessment	312	10%
Closed episode	1,581	48%
Case status not recorded	322	10%
<b>Total</b>	<b>2,942</b>	<b>90%</b>

#### Comparing CIN ceased durations



#### Comparing CIN ceased reasons



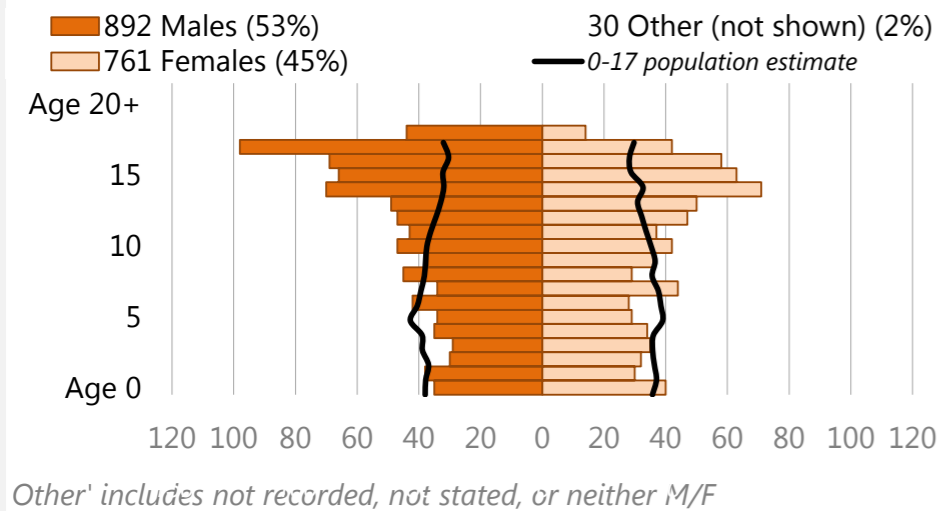
Children in Need (CIN) with an open episode of need

Snapshot 10/06/2019

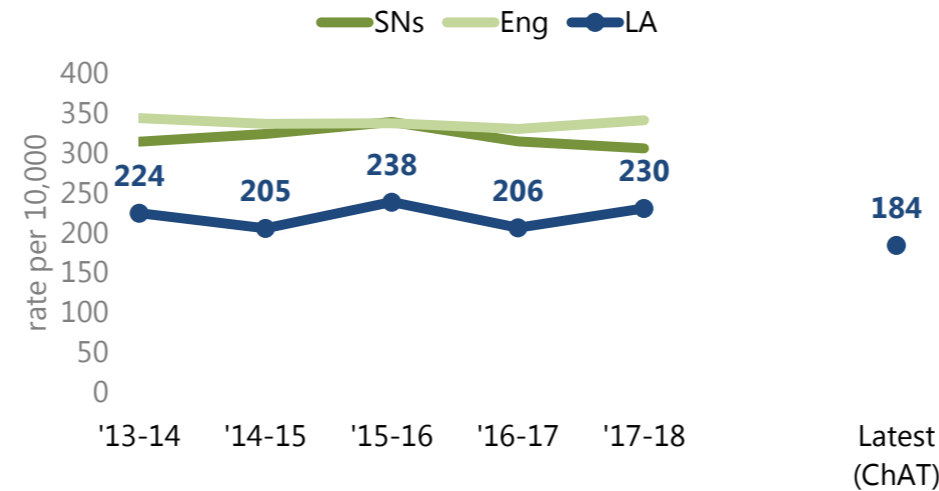
# 1683 Children in Need with an open episode of need\*

\*Note: Annex A figures in this section are not directly comparable to the published Children in need census statistics (see note on page 8)

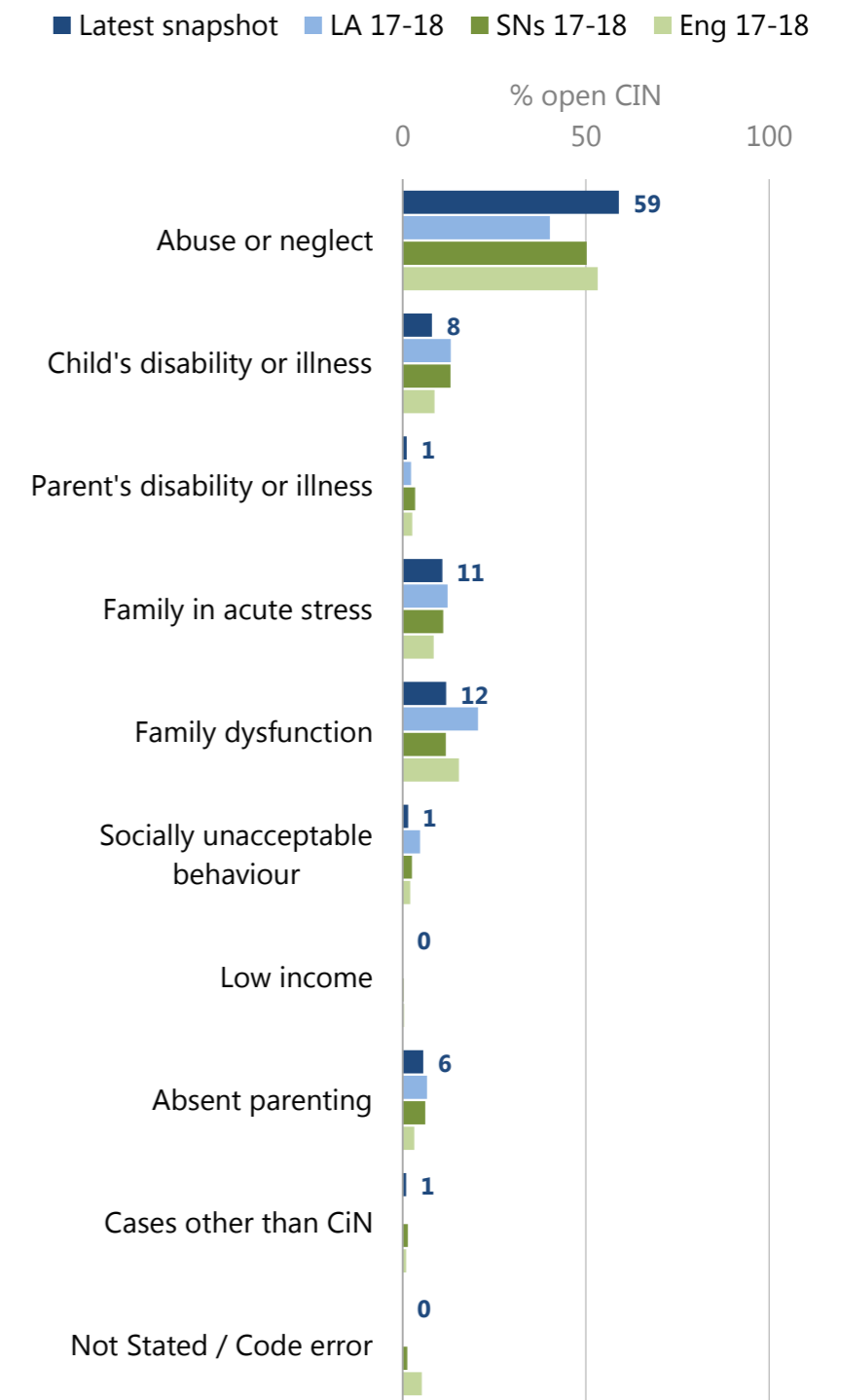
### Age and gender



### Rate of open CIN per 10,000 children aged 0-17\*

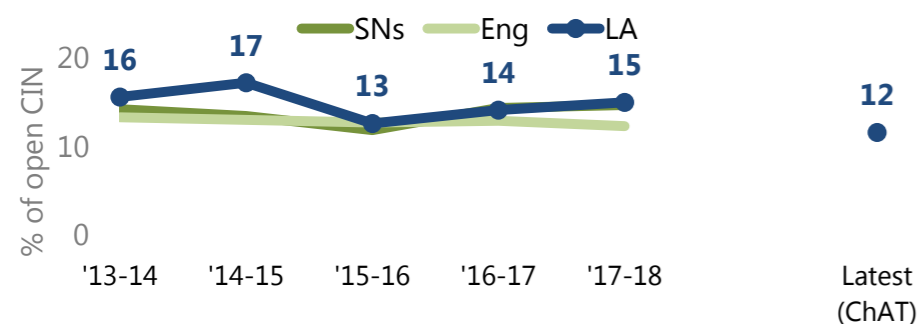


### Comparing primary need of open CIN

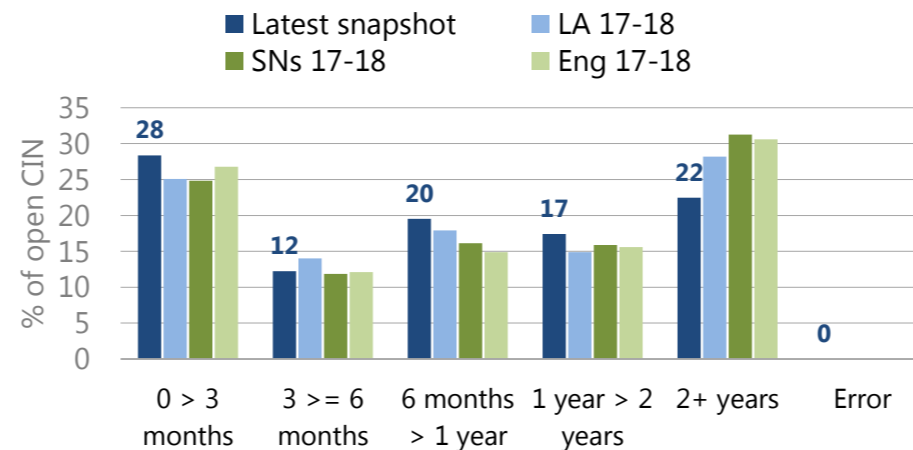


### 195 children (12%) with a disability

#### CIN with an open episode of need with a disability



### Comparing episode duration of open CIN

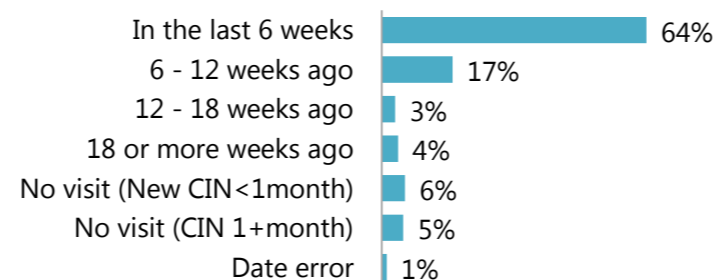


### Ethnic background

White	37%
Mixed	17%
Asian or Asian British	7%
Black or black British	17%
Other ethnic group	14%
Not stated	5%
Not recorded	0%

See page 20 for comparisons

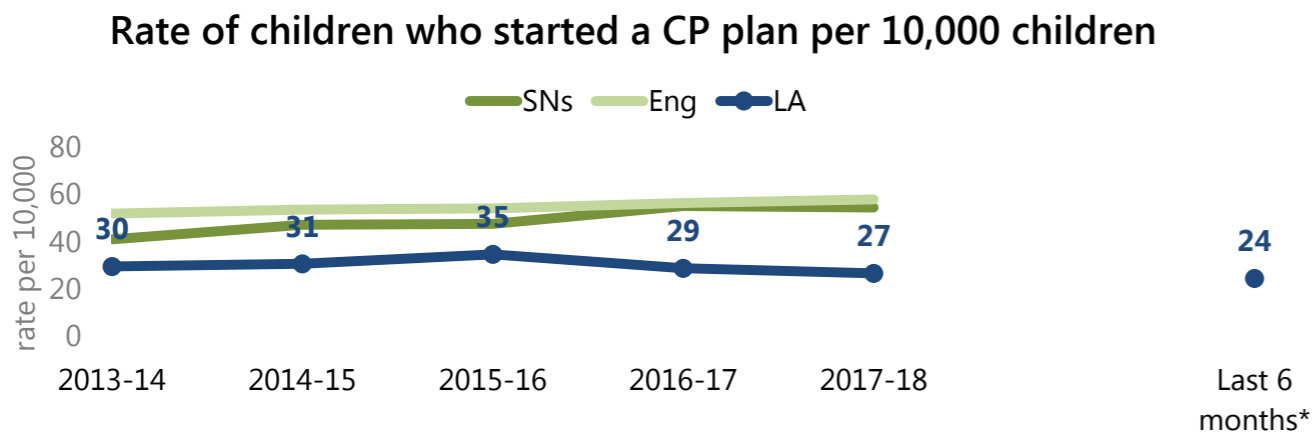
### Time since the child's latest social worker visit



Child Protection Plans (CPP) started and ceased in the last 6 months

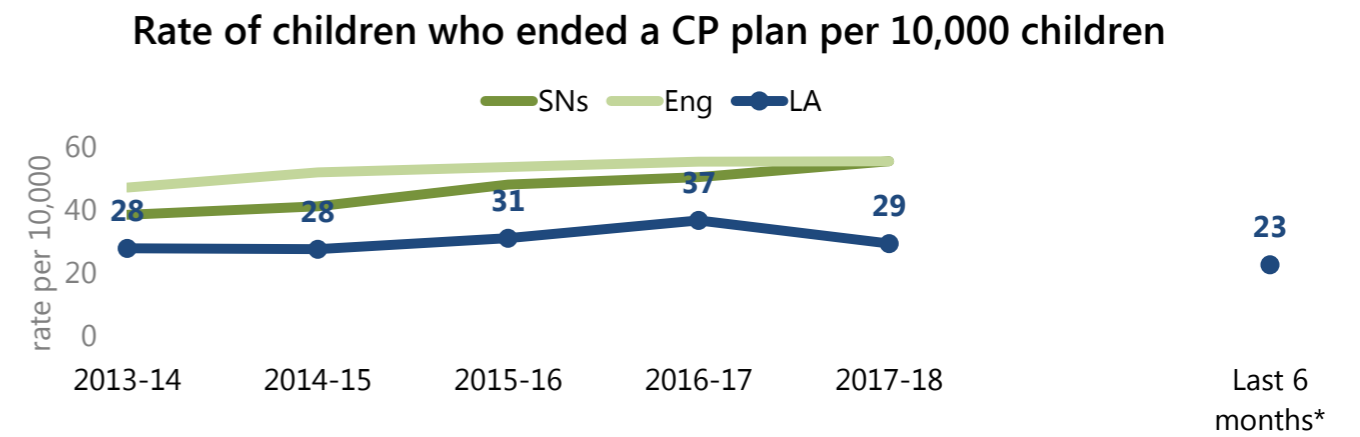
from 11/12/2018  
to 10/06/2019

### 112 CPP started in 6 months



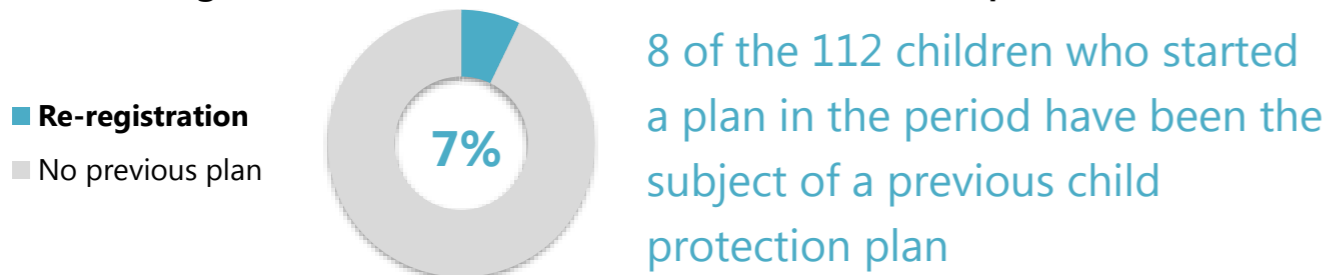
\*Annualised rate for comparison purposes

### 104 CPP ended in 6 months

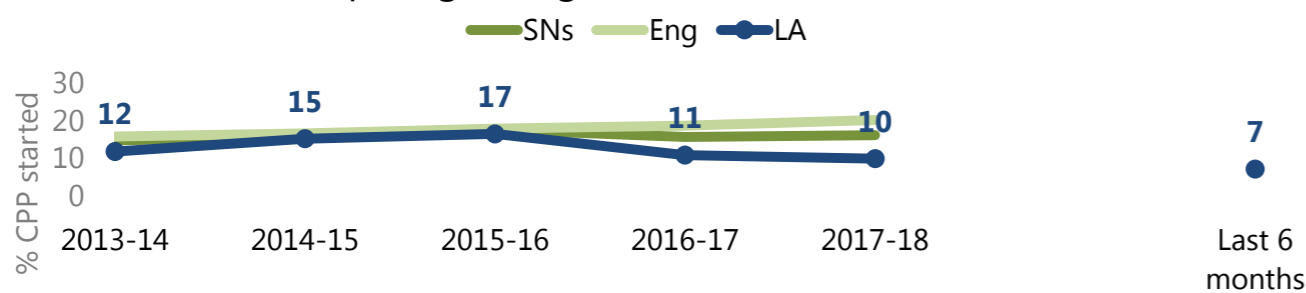


\*Annualised rate for comparison purposes

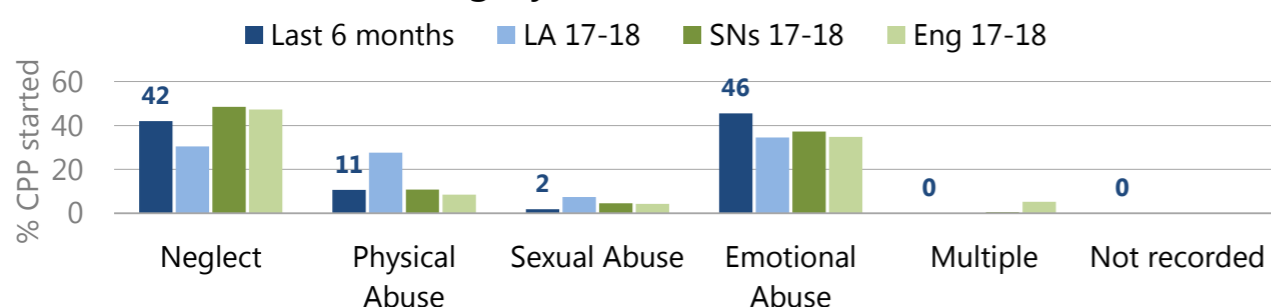
### Re-registrations for children who started on a CP plan (ever)



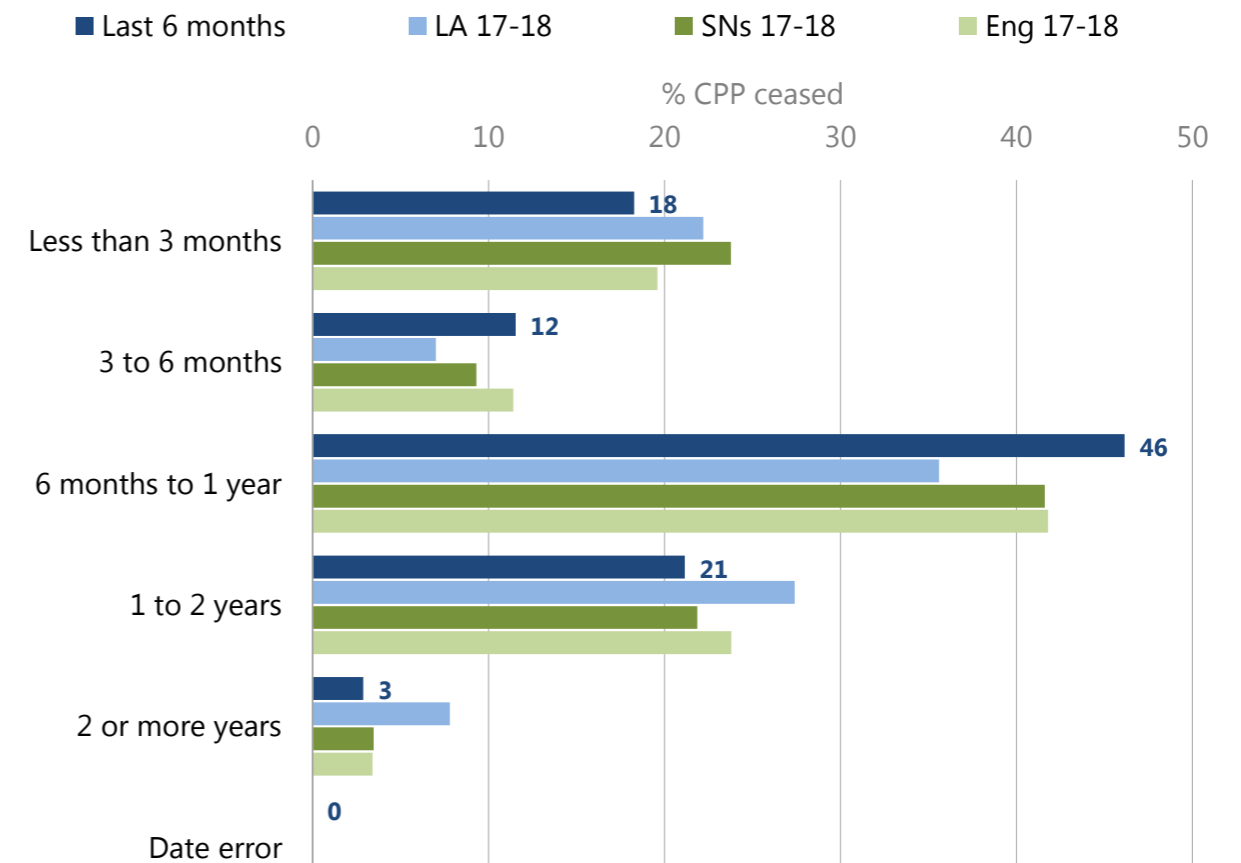
### Comparing re-registrations for CPP started



### Initial category of abuse for CPP started



### Comparing plan durations for CPP ended



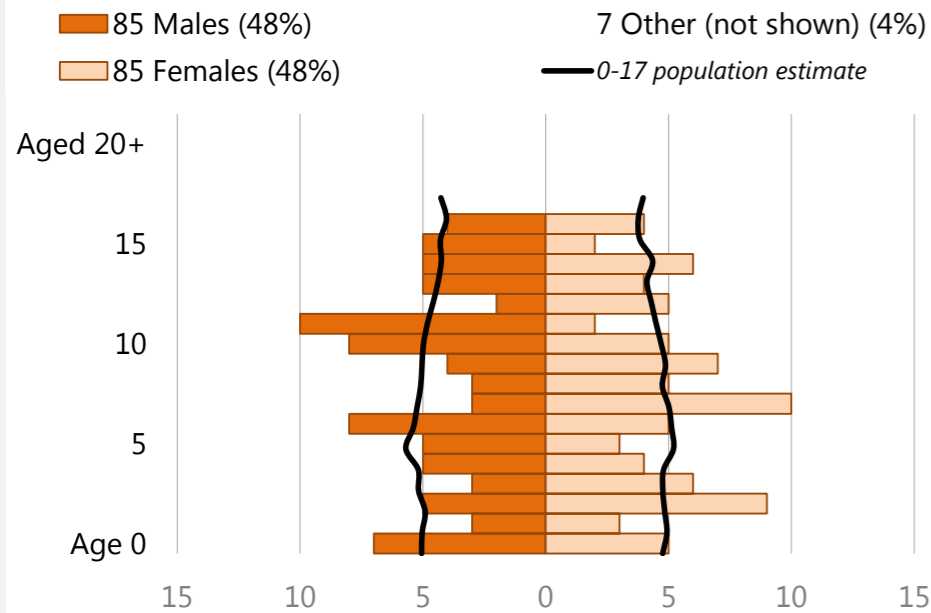
3 of 104 children ended a CP plan after 2 years or more

Child Protection Plans (CPP) currently open

Snapshot 10/06/2019

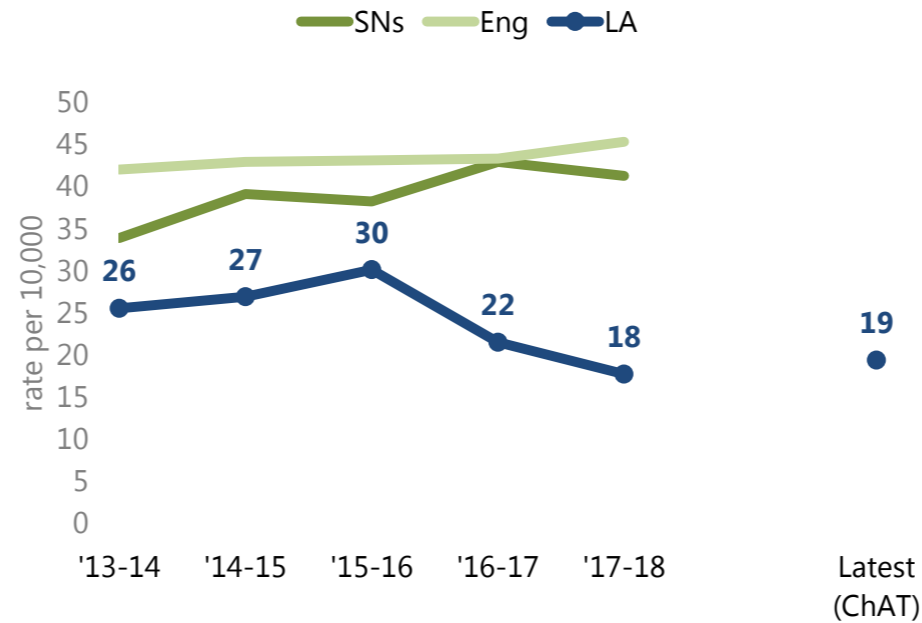
# 177 children currently subject of a Child Protection Plan (CPP)

### Age and gender

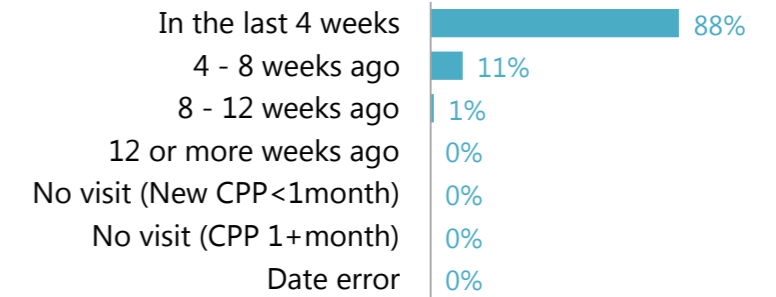


Other' includes not recorded, not stated, or neither M/F

### Rate of CPP per 10,000 children aged 0-17

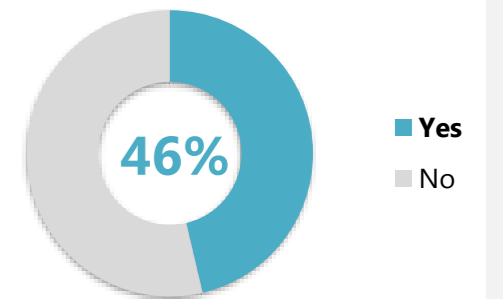


### Time since the child was last seen



Open CPP **seen alone** at their last social work visit

(excludes Not recorded or N/A)



### Ethnic background

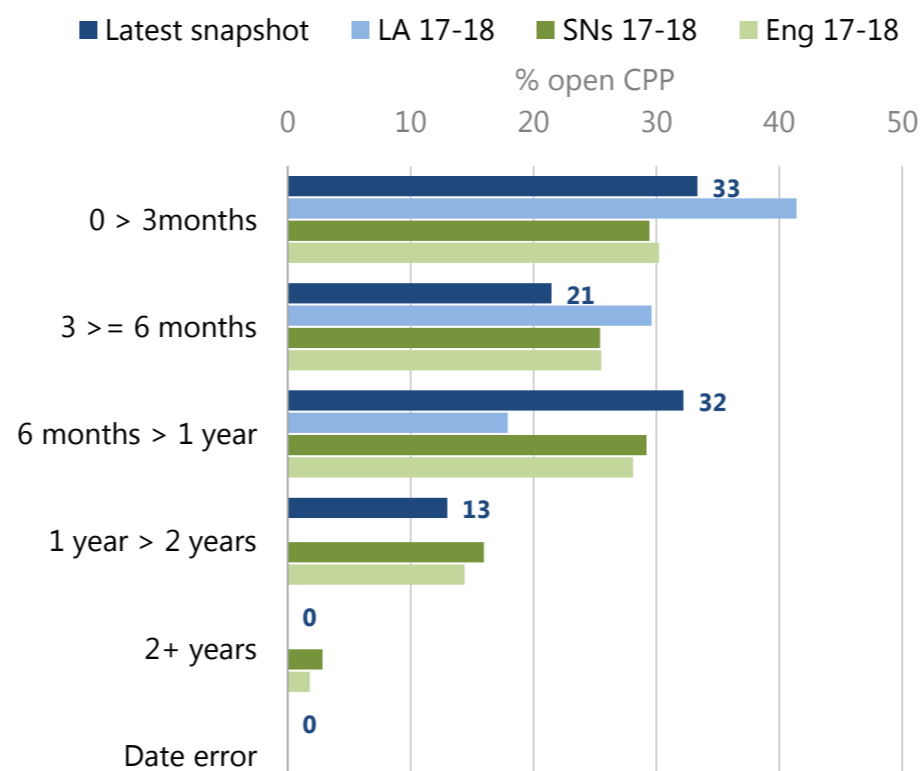
White	38%
Mixed	21%
Asian or Asian British	3%
Black or black British	14%
Other ethnic group	14%
Not stated	1%
Not recorded	0%

See page 20 for comparisons

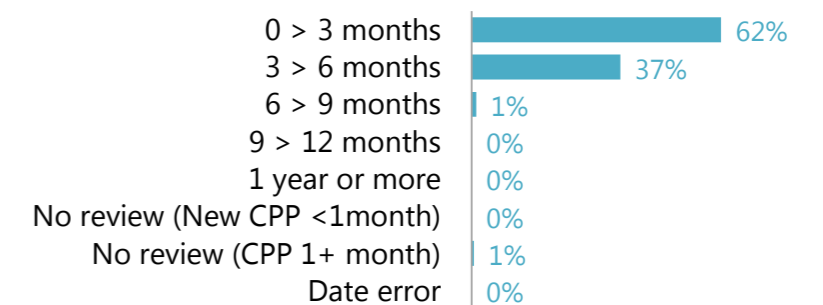
### 16 children (9%) with a disability

3 open CP subject to Emergency Protection Order or Protected Under Police Powers in last 6 months

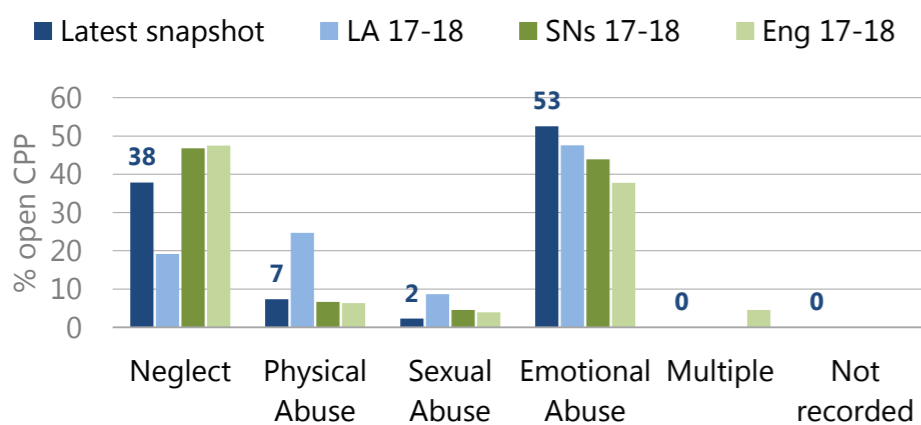
### Comparing duration of open CP plans



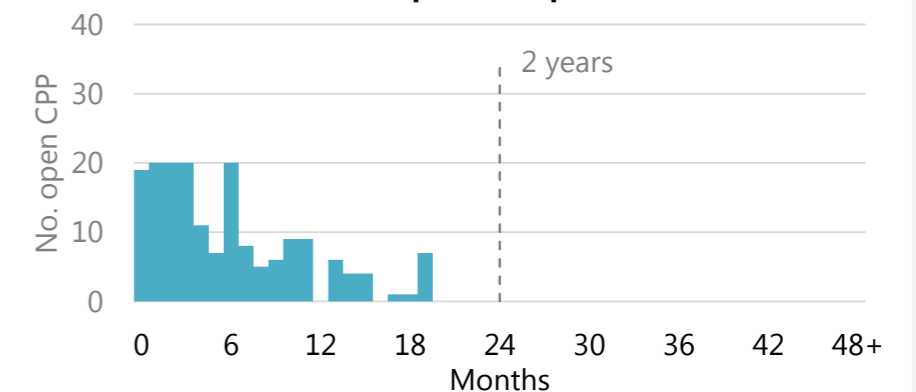
### Time since the child's latest review



### Latest category of abuse for current CP plans



### Duration of current open CP plans (in months)

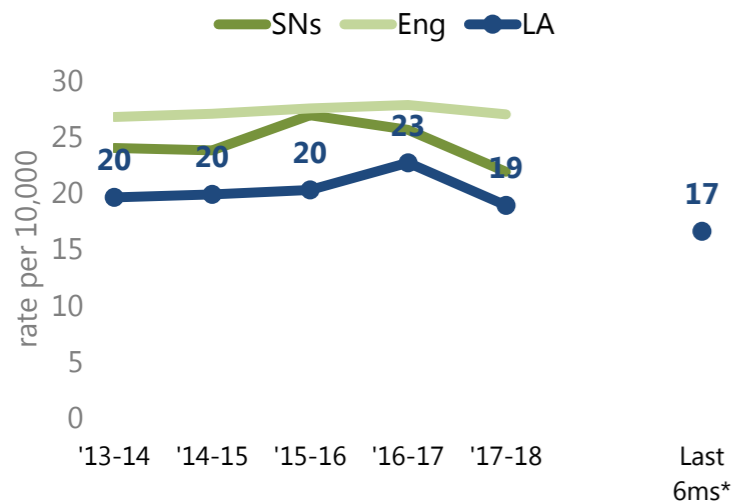


Children Looked After (CLA) started and ceased in the last 6 months

from 11/12/2018  
to 10/06/2019

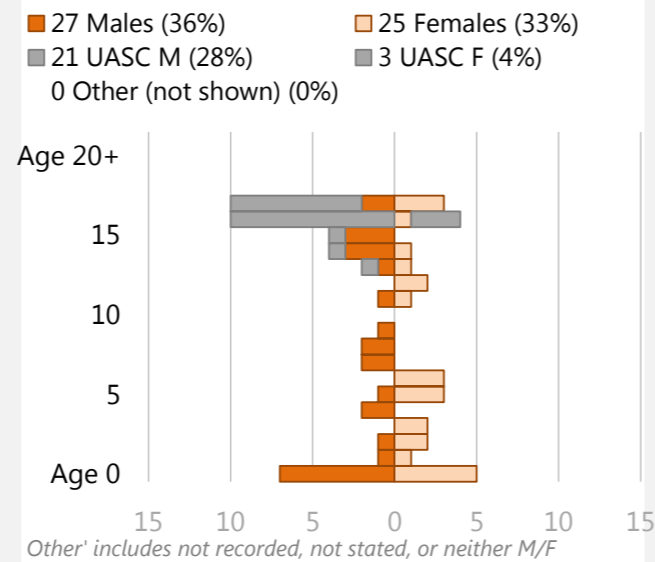
### 76 CLA started in the last 6 months

Rate of CLA started per 10,000 children



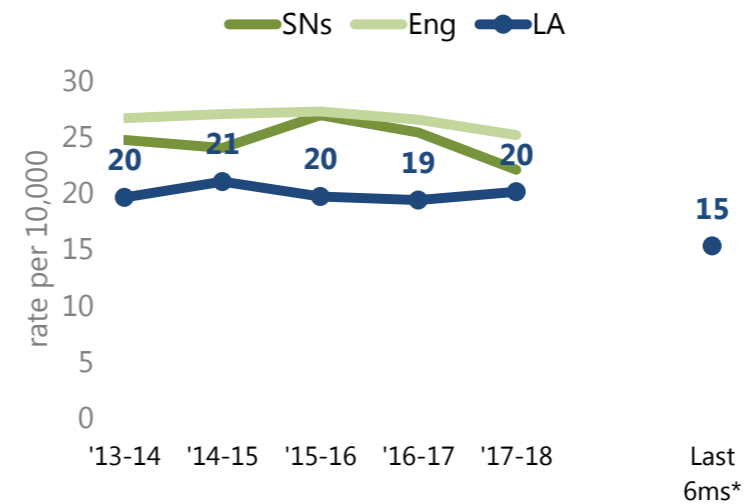
\*Annualised rate for comparison purposes

Age and gender



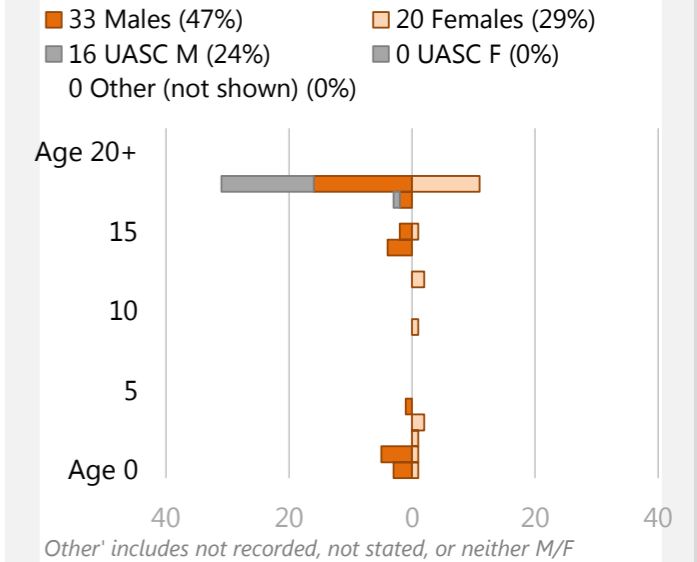
### 70 CLA ceased in the last 6 months

Rate of CLA ceased per 10,000 children



\*Annualised rate for comparison purposes

Age and gender



\*Annualised rate for comparison purposes

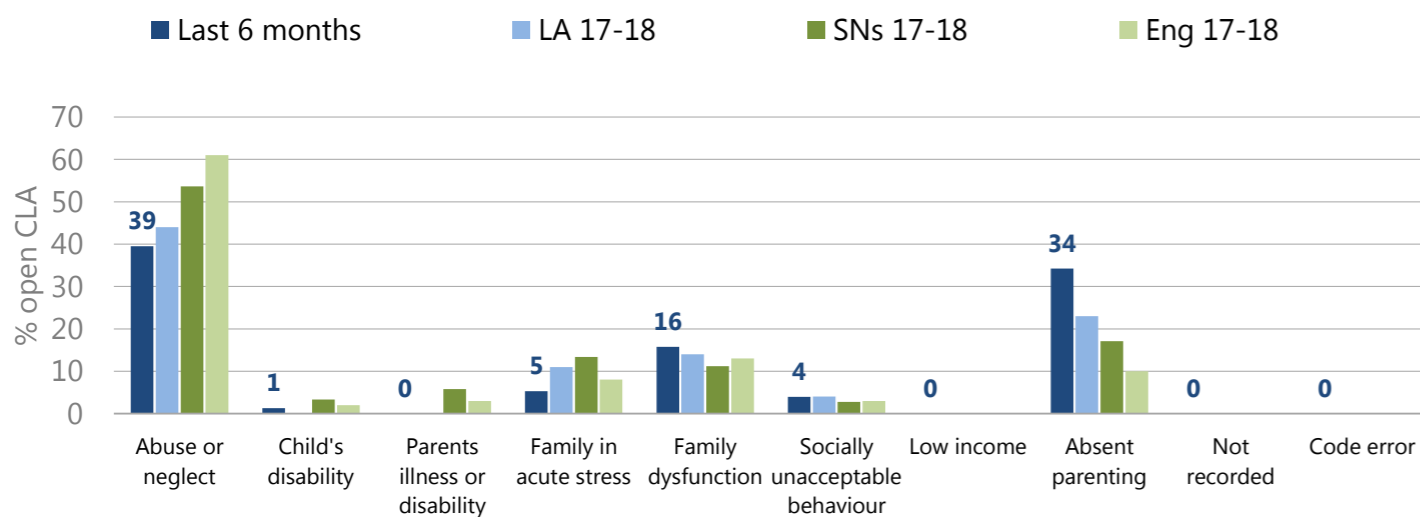
32%

24 of the 76 CLA starters were unaccompanied asylum seeking children (UASC)

8%

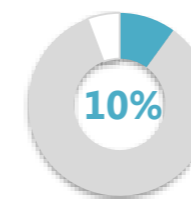
6 of the 76 CLA starters have previously been looked after

Comparing the primary need of CLA starters



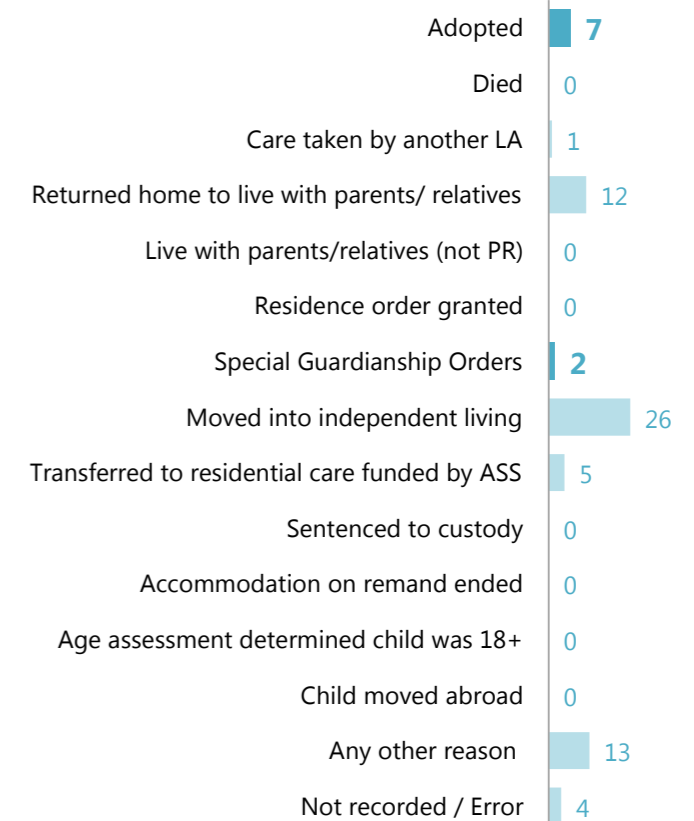
Reason episode of care ceased

Adopted

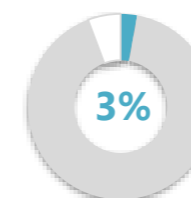


Last 6 months 10%  
2017-18 (published)  
LA 7%, SNs 9%, Eng 13%

Number of CLA ceased by reason in the period



Special Guardianship Order



Last 6 months 3%  
2017-18 (published)  
LA 13%, SNs 20%, Eng 11%

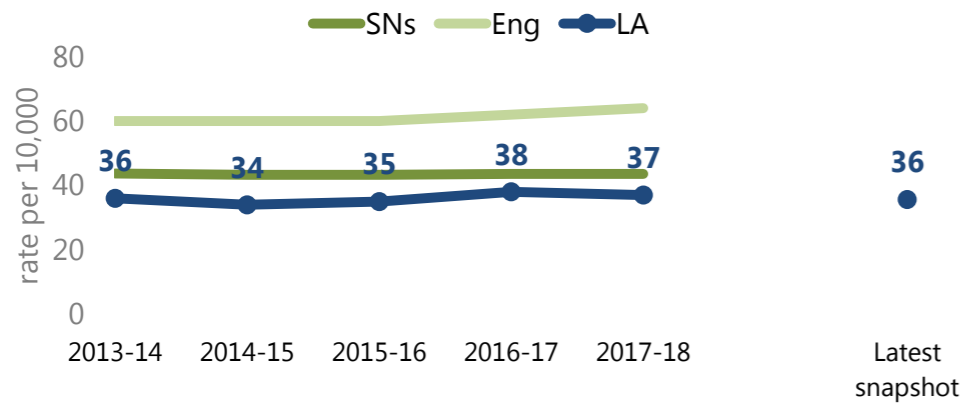


Children Looked After (CLA) with an open episode of care

Snapshot 10/06/2019

### 326 Children Looked After (CLA) with an open episode of care

Rate of CLA per 10,000 children (snapshot)



Ethnic background

	All CLA	Not UASC	UASC
White	41%	49%	11%
Mixed	19%	24%	3%
Asian or Asian British	7%	4%	17%
Black or black British	17%	18%	11%
Other ethnic group	15%	4%	56%
Not stated	0%	0%	1%
Not recorded	0%	0%	0%

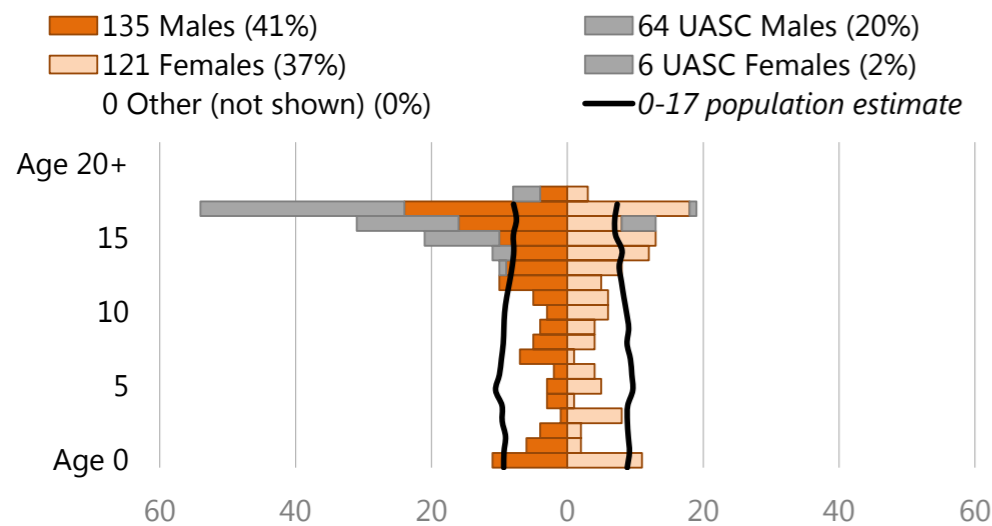
35 children (11%) with a disability

Permanence plan

	Number	%
Return to family	0	0%
Adoption	0	0%
SGO/CAO	0	0%
Supported living	0	0%
L/T residential	0	0%
L/T fostering	0	0%
Other	0	0%

See page 20 for comparisons

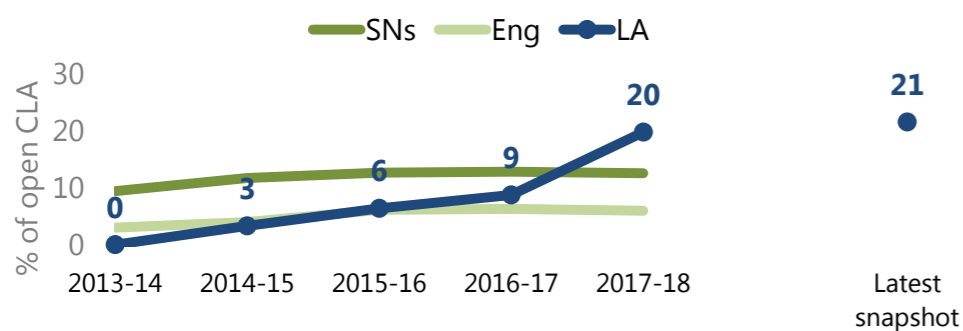
Age and gender



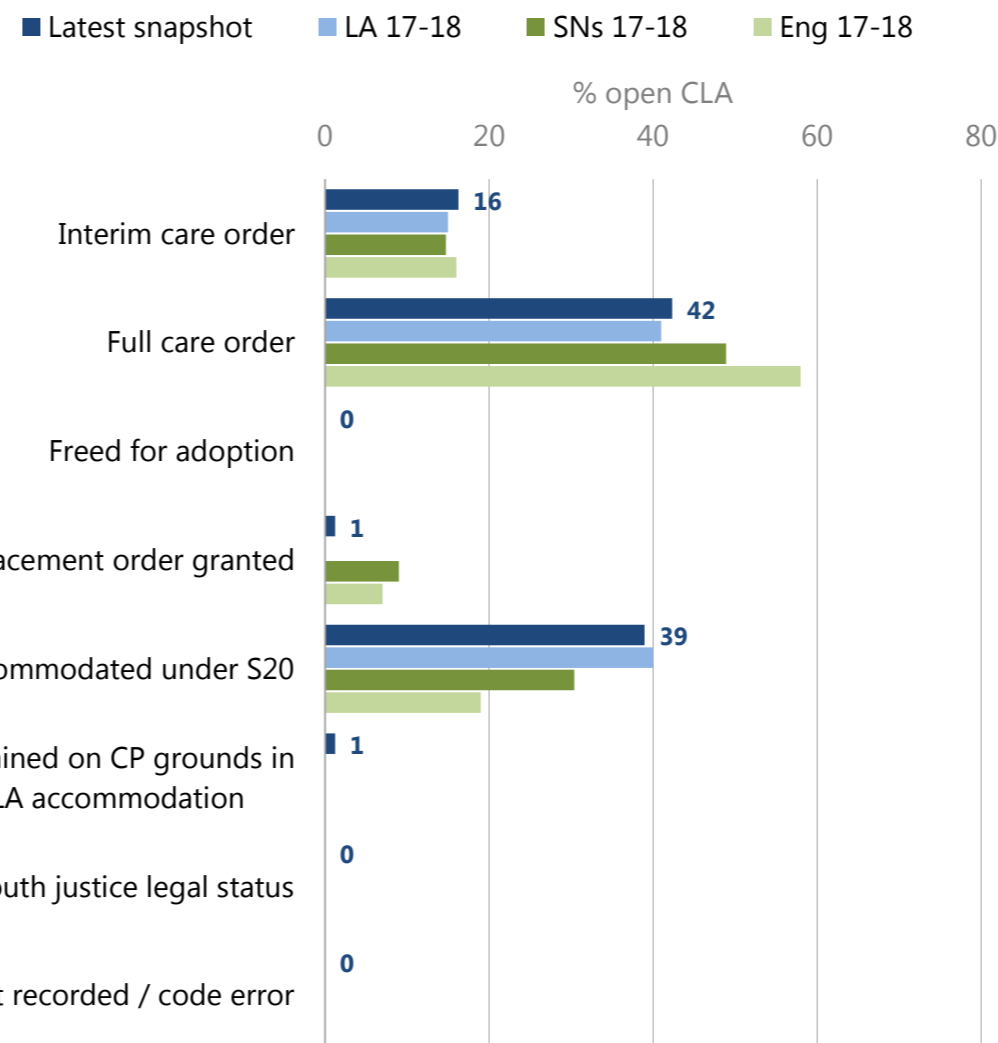
Other' includes not recorded, not stated, or neither M/F

70 open unaccompanied asylum seeking children (UASC)

UASC as a percentage of CLA (snapshot)



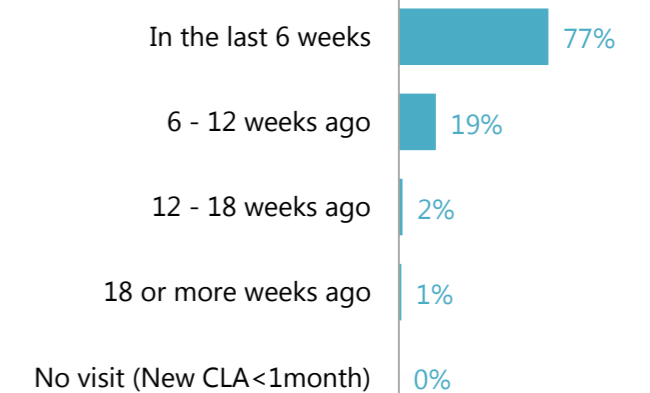
Comparing legal status of open CLA (snapshot)



Time since latest review



Time since the child was last seen

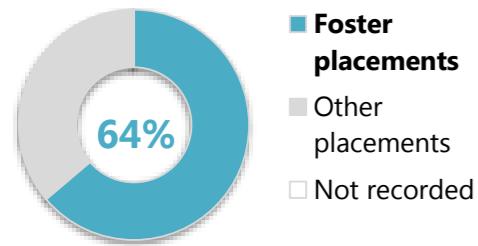


Children Looked After (CLA) placements

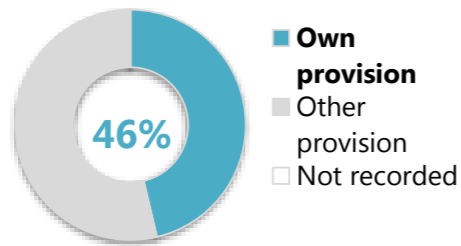
Snapshot 10/06/2019

CLA placements by type and provision

Foster placements



Own provision

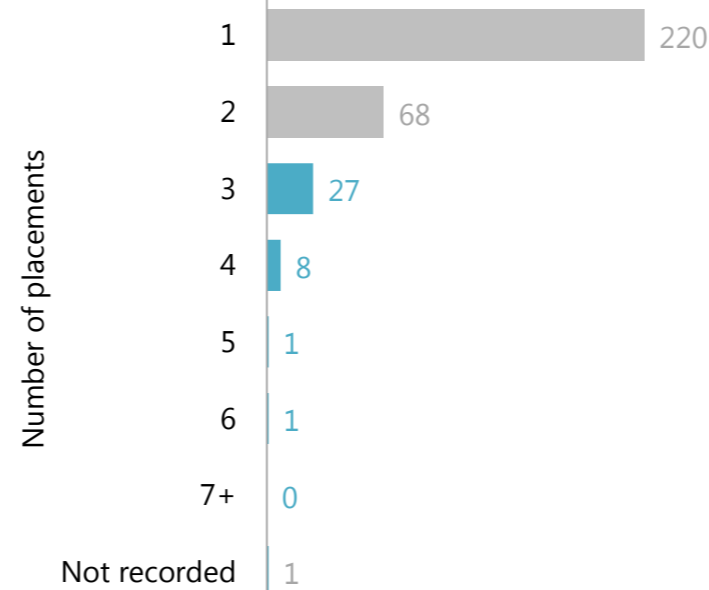


LA 2017-18 61%  
SNs 2017-18 72%  
Eng 2017-18 73%

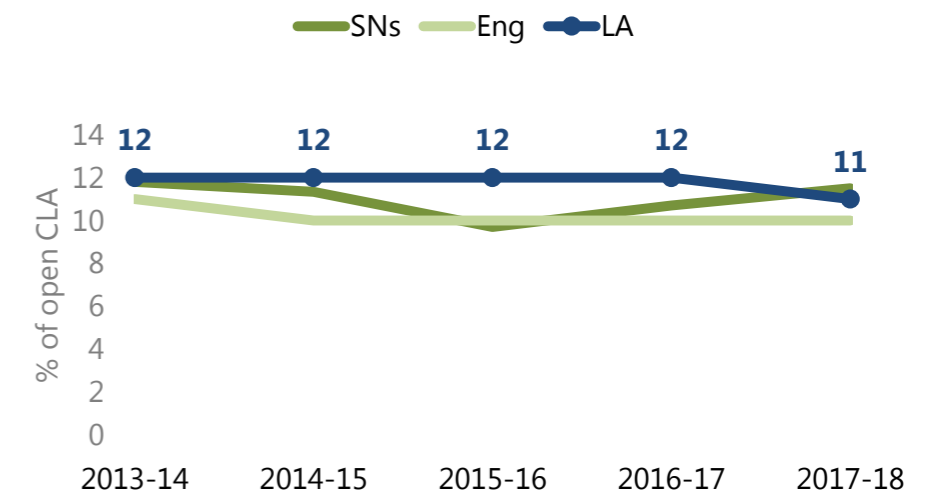
LA 2017-18 45%  
SNs 2017-18 42%  
Eng 2017-18 53%

Placement type (open CLA)	Own LA	Private	Other	Total
Foster placement	132	70	6	208
Placed for adoption	9	0	1	10
Placed with parents	0	0	5	5
Independent living	0	0	0	0
Residential accommodation	0	55	2	57
Secure Children's Homes	0	1	0	1
Children's Homes	10	27	2	39
Residential Care Home	0	0	0	0
NHS/Health Trust	0	0	0	0
Family Centre	0	1	0	1
Young Offender Institution	0	0	0	0
Residential school	0	5	0	5
Other placements	0	0	0	0
Temporary placement	0	0	0	0
Total placements	151	159	16	326

Number of placements in the last 12 months

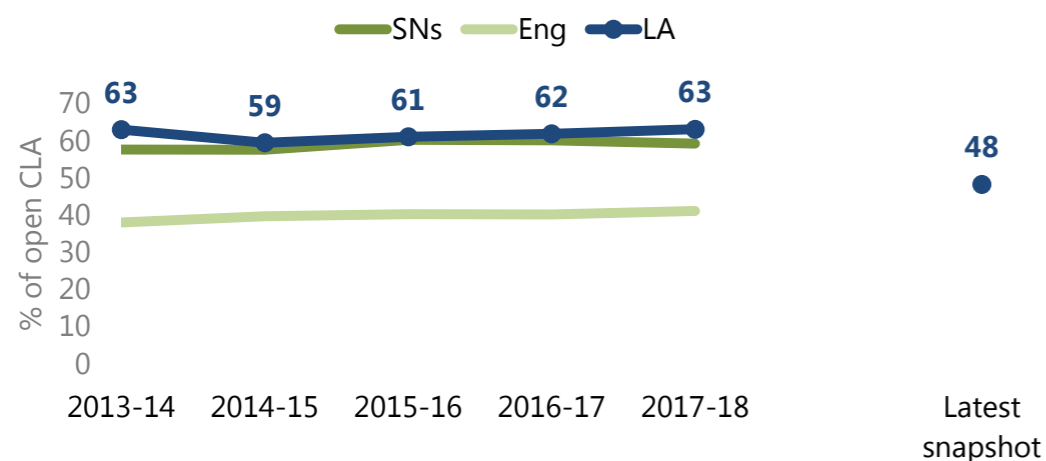


Comparing short term placement stability



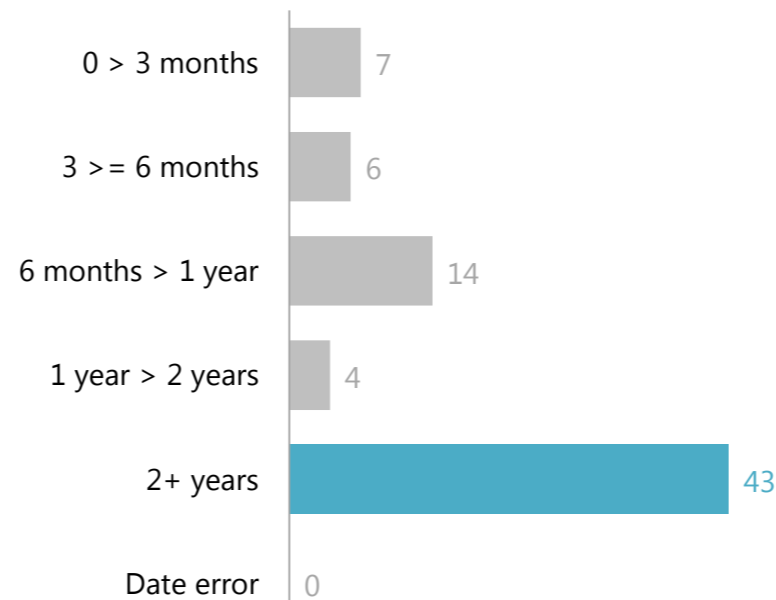
Due to limited data in the Annex A dataset, ChAT does not present short-term stability alongside published statistics

CLA placements out of borough

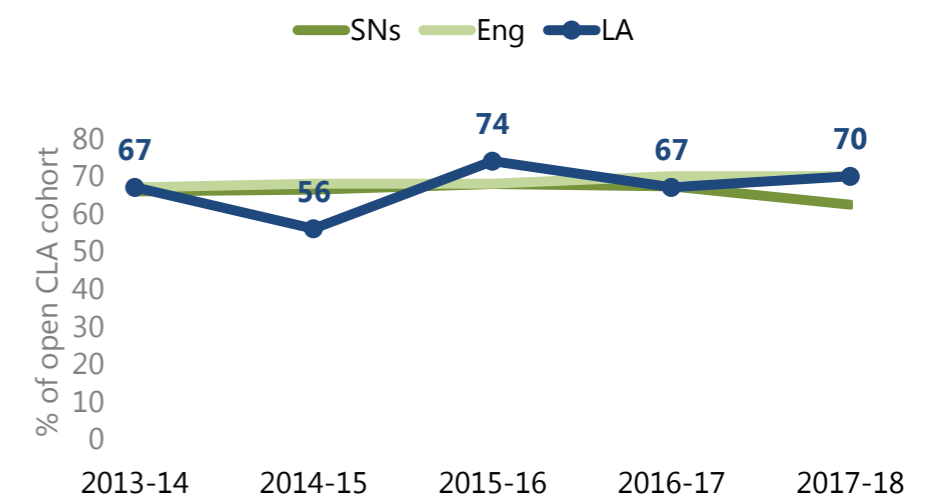


Duration of placements

Duration of latest placement for each current CLA aged under 16 who have been looked after for 2½ years or more



Comparing long term placement stability



Due to limited data in the Annex A dataset, ChAT does not present long-term stability alongside published statistics



Children Looked After (CLA) health and missing/absent from placement

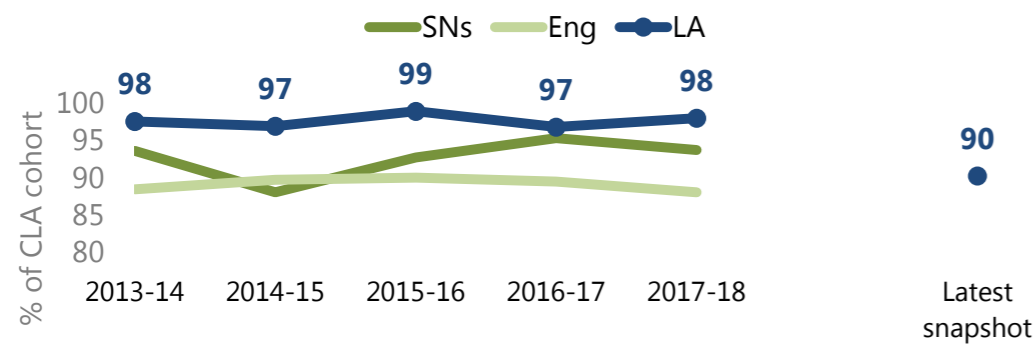
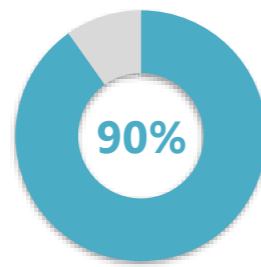
Snapshot 10/06/2019

### Health

204 current open CLA looked after for at least 12 months

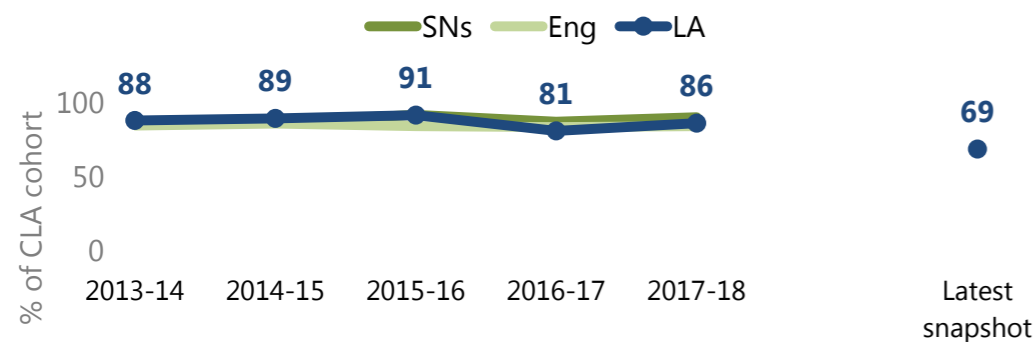
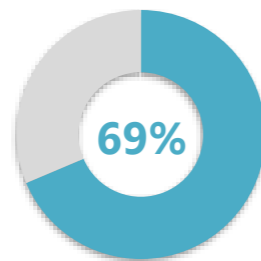
#### Health assessments

Current open CLA who have been looked after for at least 12 months with an up to date health assessment (in the last 6 months for CLA aged under 5, and in the last 12 months for CLA aged 5-plus)



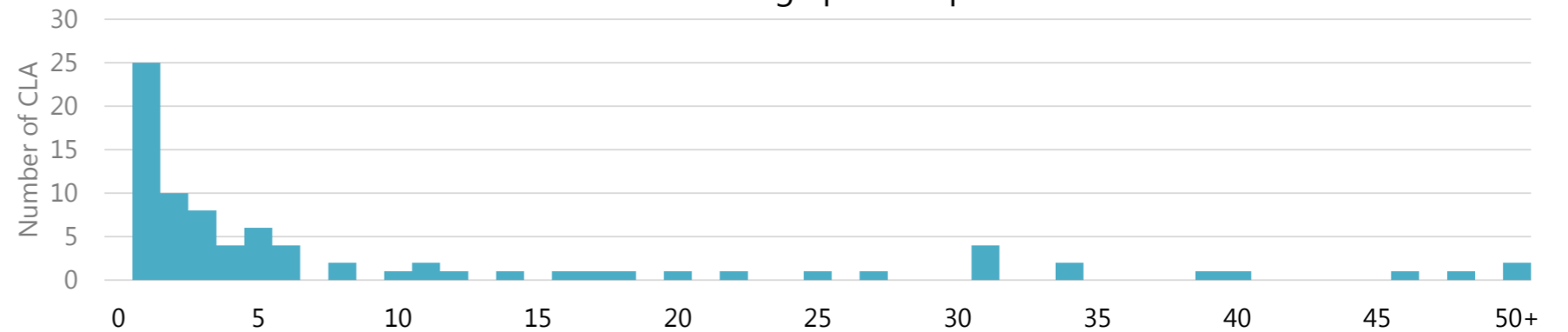
#### Dental checks

Current open CLA who have been looked after for at least 12 months who have had a dental check in the last 12 months.



### Missing from placement

Number of missing episodes per CLA

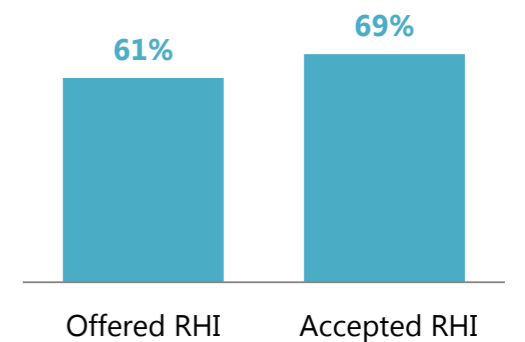


83 of 396 looked after children had a missing incident in the last 12 months

	Latest data	LA 17-18	SNs 17-18	Eng 17-18
Number of all CLA with a missing incident	83 of 396	88		
Percentage of all CLA with a missing incident	21%	17%	13%	11%
Total number of missing incidents for all CLA	838	579		
Average number of incidents per CLA who went missing	10.1	6.6	5.8	6.1

#### Missing incidents - return home interviews

	Latest data	
Missing children offered return interview	51 of 83	61%
Missing children not offered return interview	32 of 83	39%
Missing children return interview offer not recorded	0 of 83	0%
Missing children where return interview was n/a	0 of 83	0%



	Latest data	
Missing children accepted return interview	35 of 51	69%
Missing children not accepted return interview	16 of 51	31%
Missing children return interview acceptance not recorded	0 of 51	0%

### Absent from placement

47 of 396 looked after children had an absent incident in the last 12 months

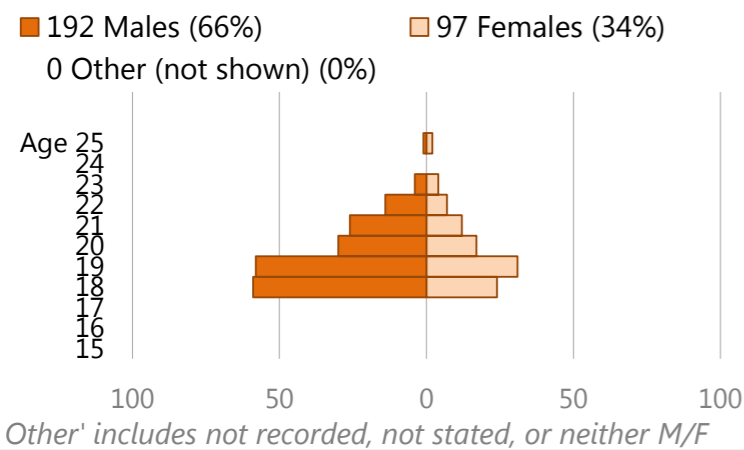
	Latest data	LA 17-18	SNs 17-18	Eng 17-18
Number of all CLA with an absent incident	47 of 396	46		
Percentage of all CLA with an absent incident	12%	9%	7%	4%
Total number of absent incidents for all CLA	206	260		
Average number of incidents per CLA who were absent	4.4	5.7	2.9	4.0

Care leavers currently in receipt of leaving care services

Snapshot 10/06/2019

## 289 care leavers

### Age and gender



### Ethnic background

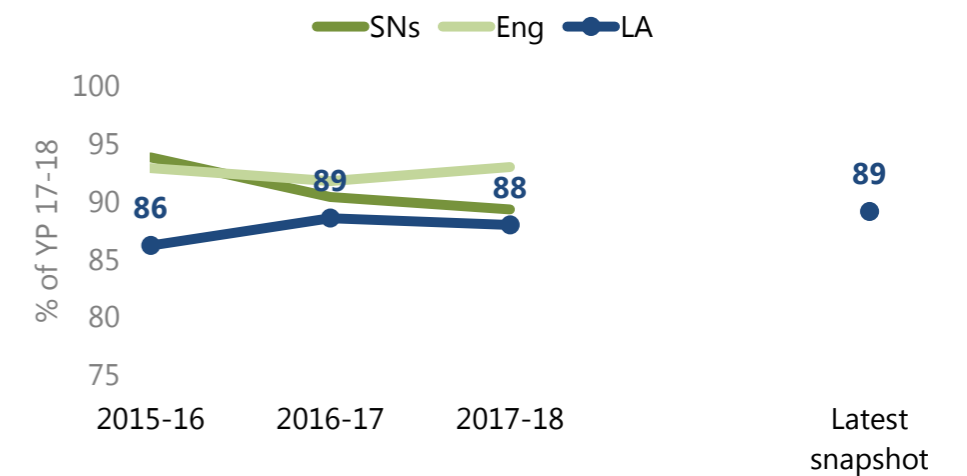
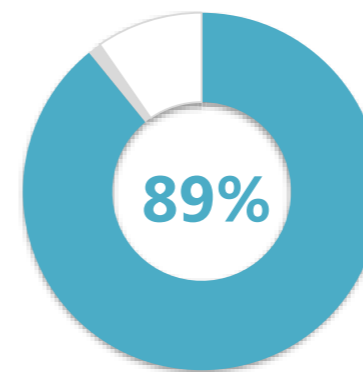
White	37%
Mixed	12%
Asian or Asian British	10%
Black or black British	22%
Other ethnic group	19%
Not stated	0%
Not recorded	0%

See page 20 for comparisons

29 (10%) care leavers with a disability

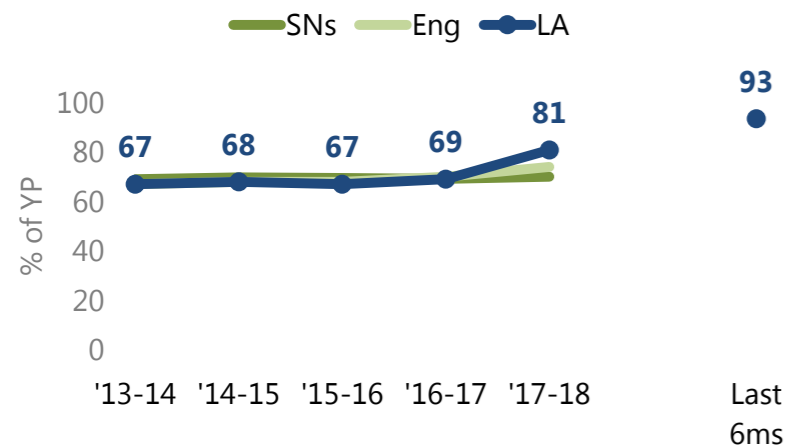
### LA in touch with 17-18 year olds

ChAT	Aged 17	Aged 18	Total
Numbers in cohort	0	83	83
LA in touch with YP	-	89%	89%



### Remained in care until aged 18

YP who ceased to be looked after aged 16-plus who were looked after until their 18th birthday



### Eligibility category

Relevant	0
Former relevant	284
Qualifying	5
Other	0
Not recorded	0

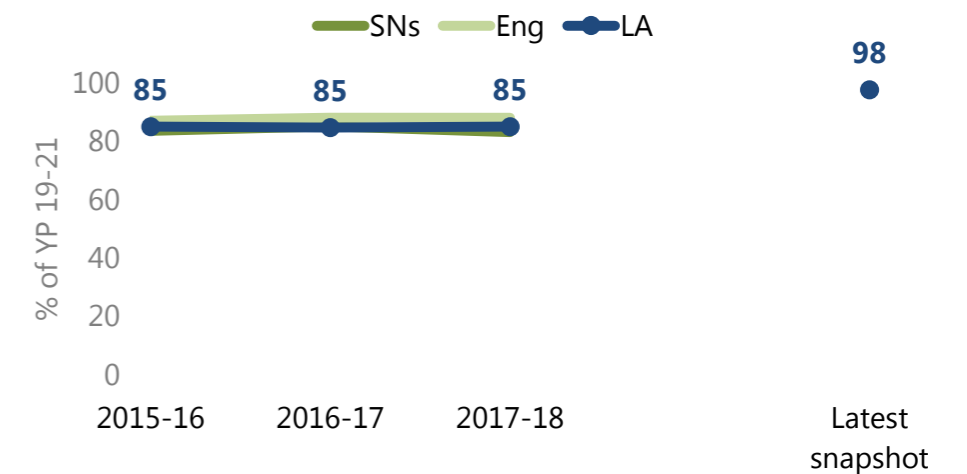
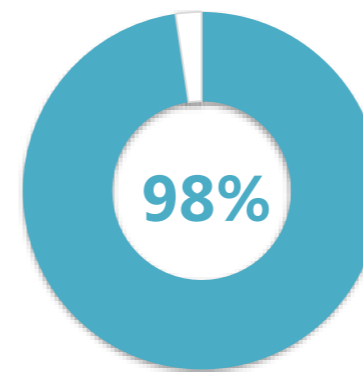
Relevant = YP aged 16-17 no longer looked after and eligible for leaving care services.

Former relevant = YP aged 18-25 eligible for leaving care services.

Qualifying = YP aged 18-25 in receipt of support but not eligible for full leaving care services.

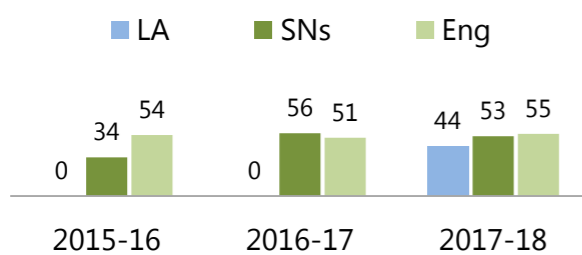
### LA in touch with 19-21 year olds

ChAT	Aged 19	Aged 20	Aged 21	Total
Numbers in cohort	86	47	38	171
LA in touch with YP	97%	98%	100%	98%

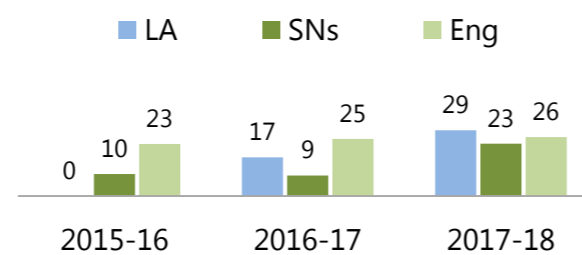


### Remain with former foster carer

#### Aged 18



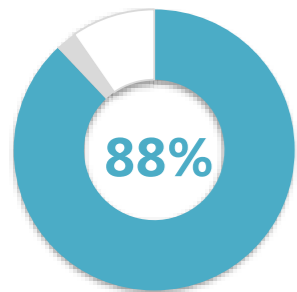
#### Aged 19-20



Care leavers accommodation suitability and type

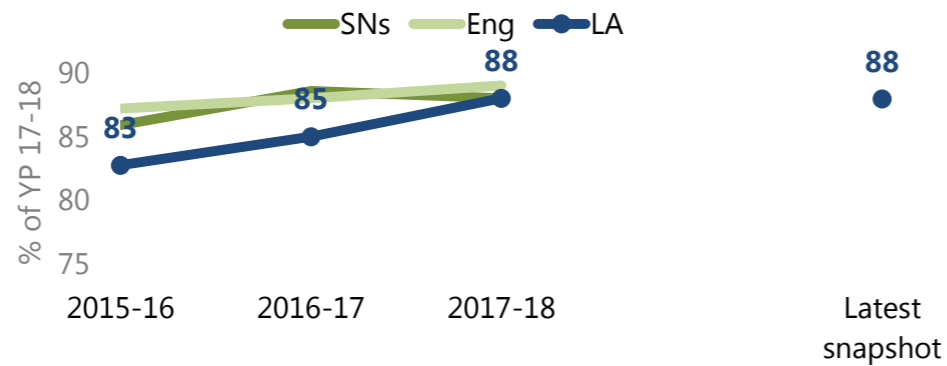
Snapshot 10/06/2019

Accommodation suitability of 17-18 year olds

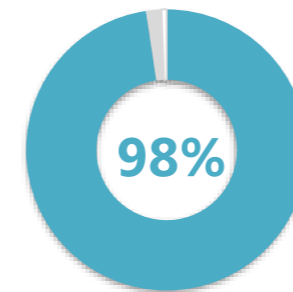


■ Suitable accom  
■ Not suitable  
□ No information

ChAT	Aged 17	Aged 18	Total
Numbers in cohort	0	83	83
In suitable accommodation	-	88%	88%

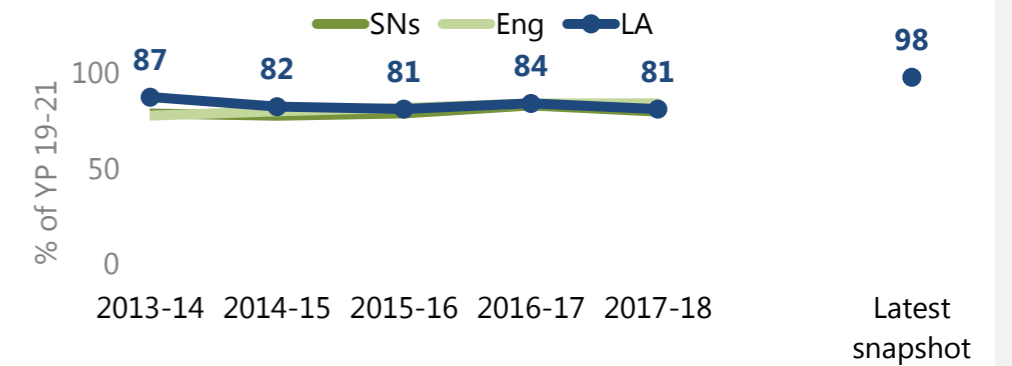


Accommodation suitability of 19-21 year olds

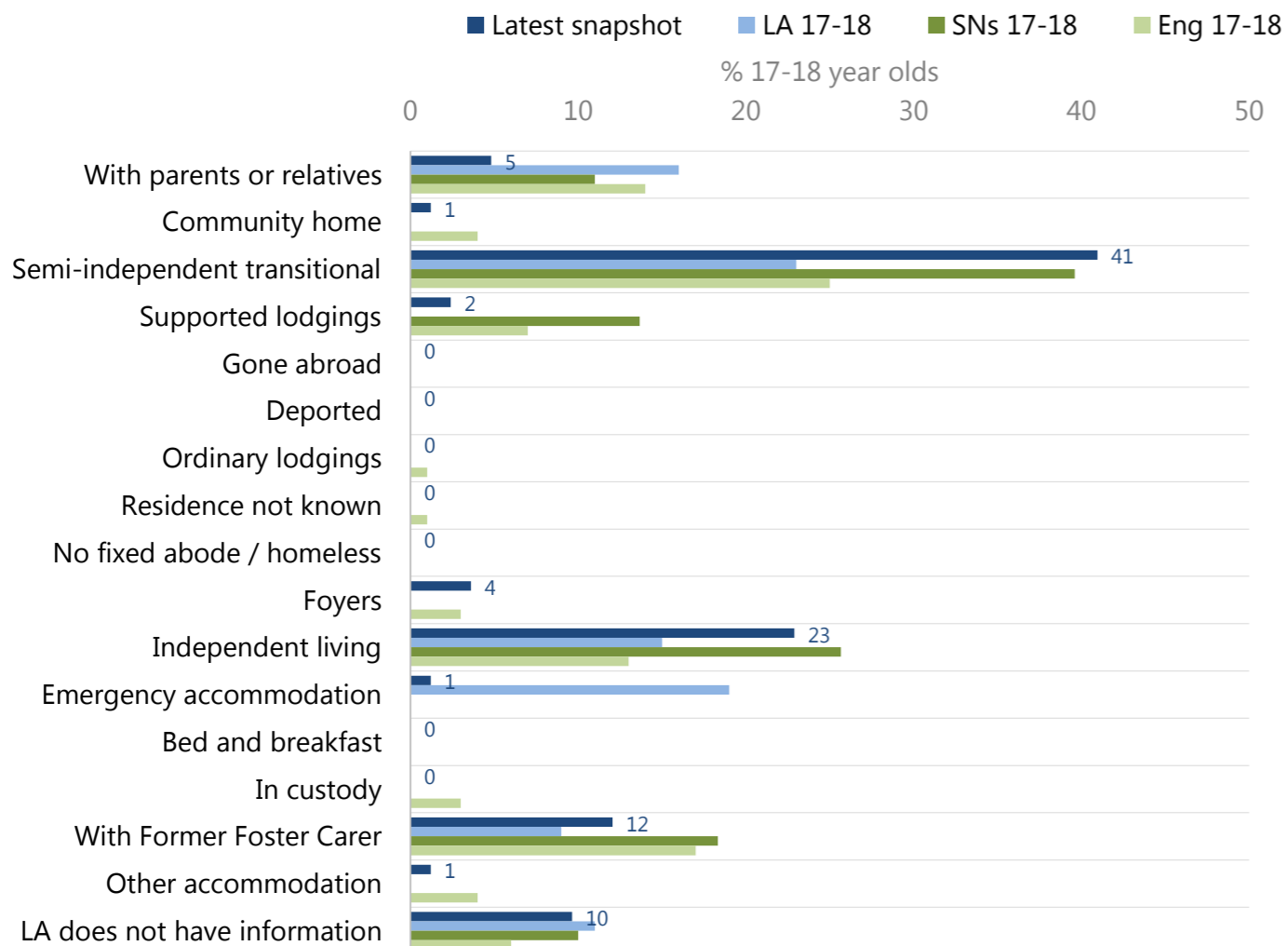


■ Suitable accom  
■ Not suitable  
□ No information

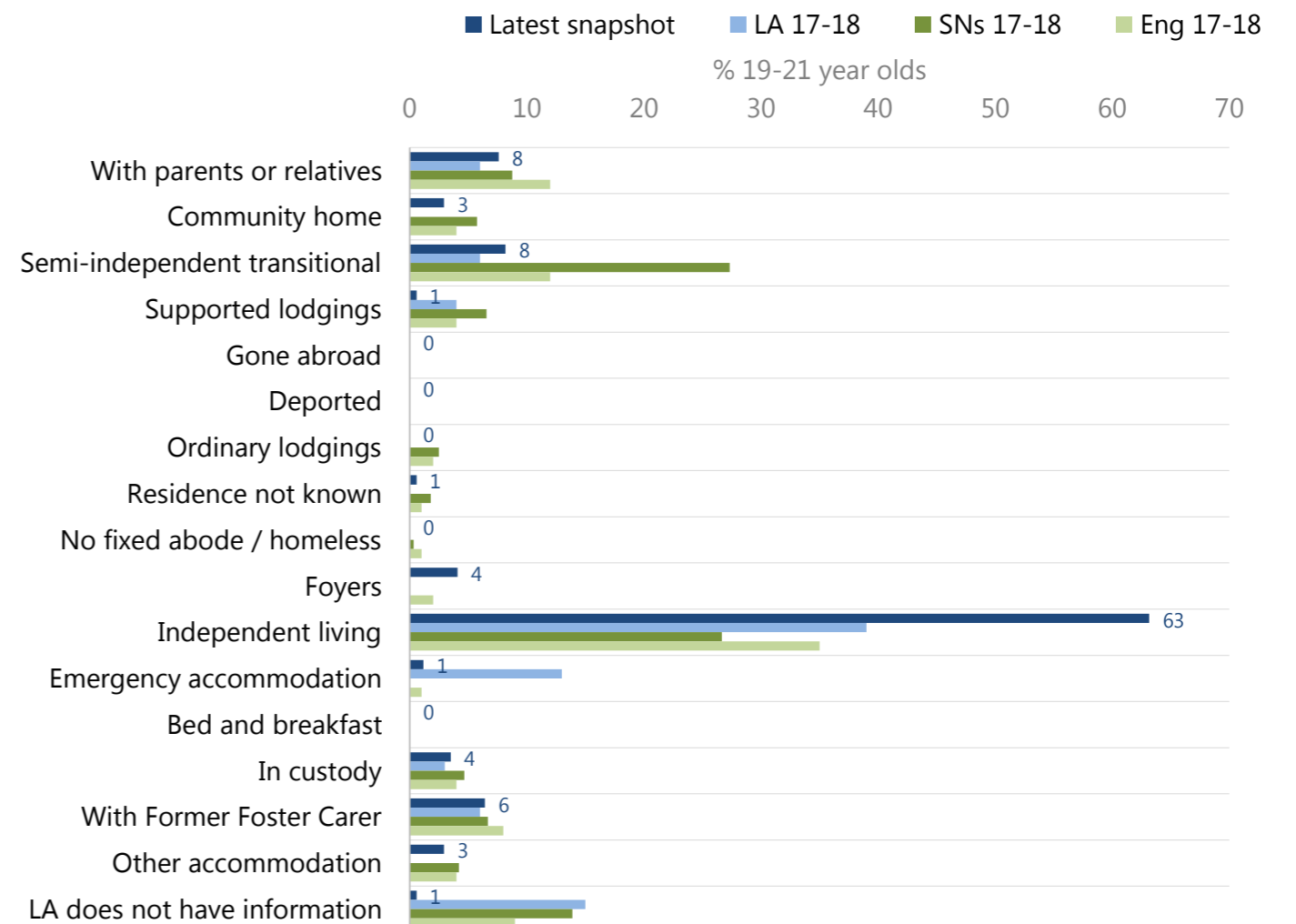
ChAT	Aged 19	Aged 20	Aged 21	Total
Numbers in cohort	85	47	38	170
In suitable accommodation	98%	98%	97%	98%



Accommodation types of 17-18 year olds



Accommodation types of 19-21 year olds

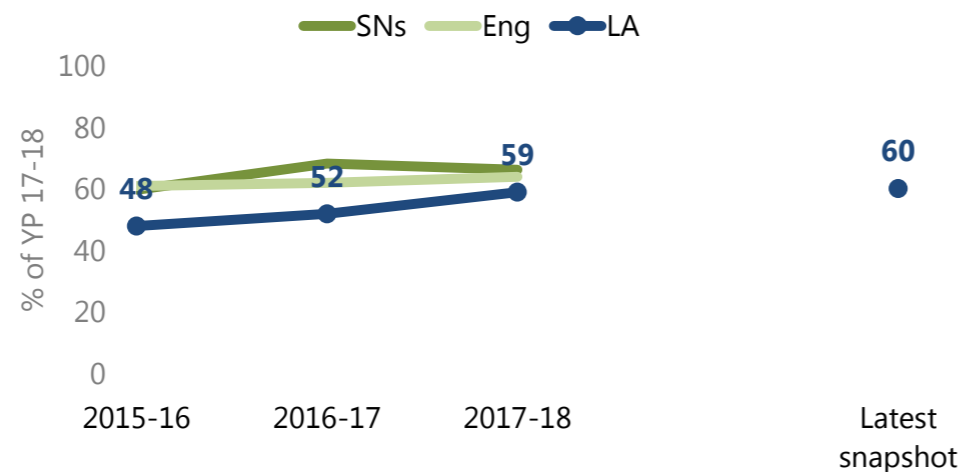
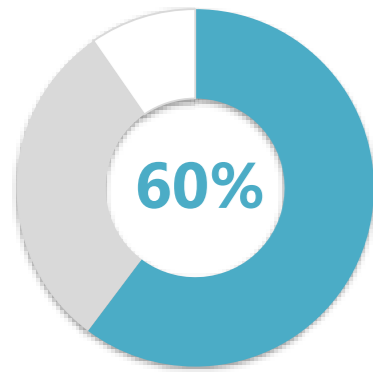


Care leavers activity (Education, Employment, or Training)

Snapshot 10/06/2019

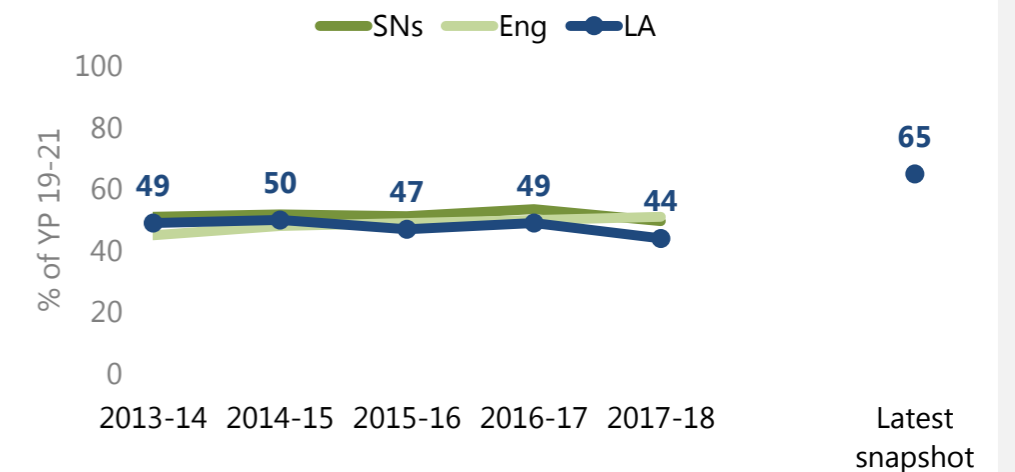
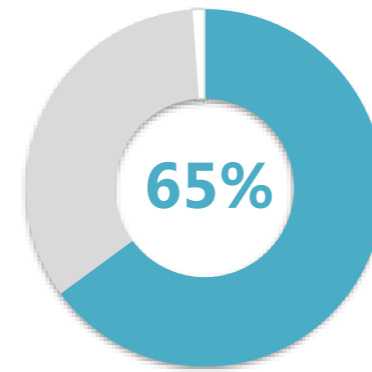
Education, Employment, or Training (EET) of 17-18 year olds

ChAT	Aged 17	Aged 18	Total
Numbers in cohort	0	83	83
In EET	-	60%	60%

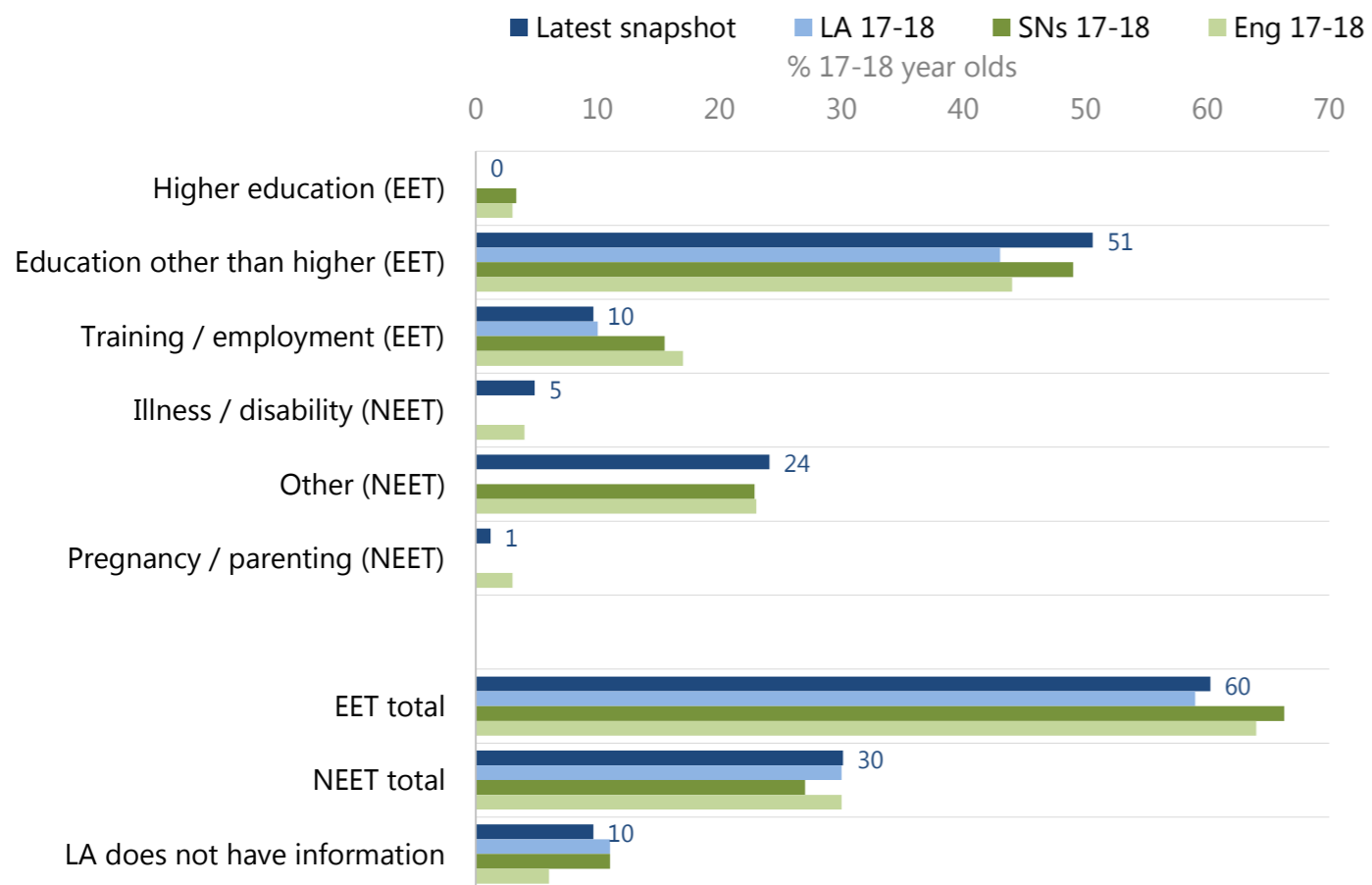


Education, Employment, or Training (EET) of 19-21 year olds

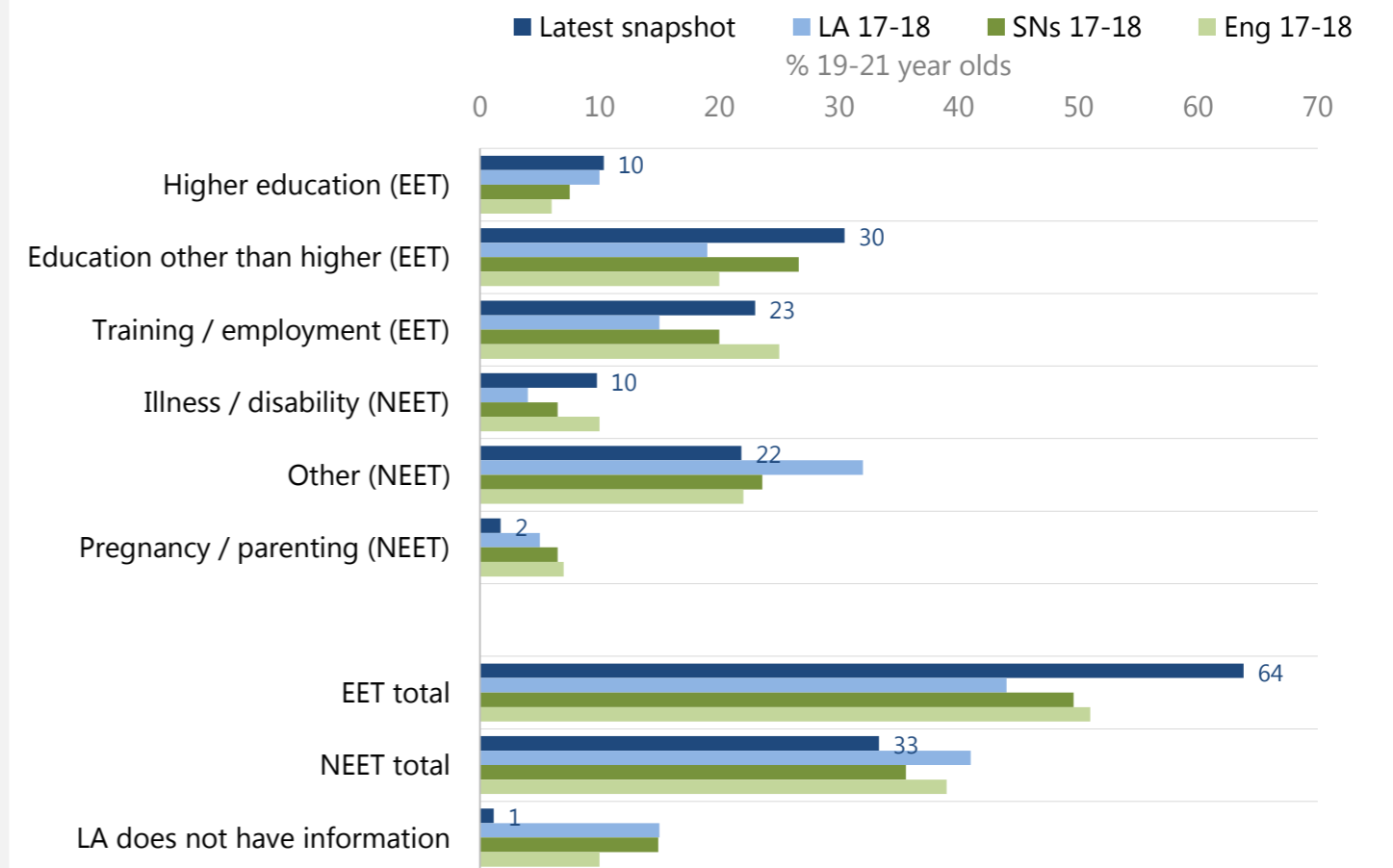
ChAT	Aged 19	Aged 20	Aged 21	Total
Numbers in cohort	86	47	38	171
In EET	65%	64%	66%	65%



Activity types of 17-18 year olds



Activity types of 19-21 year olds



Children adopted, waiting to be adopted, or had an adoption decision reversed in the last 12 months from 11/06/2018 to 10/06/2019

## 27 children

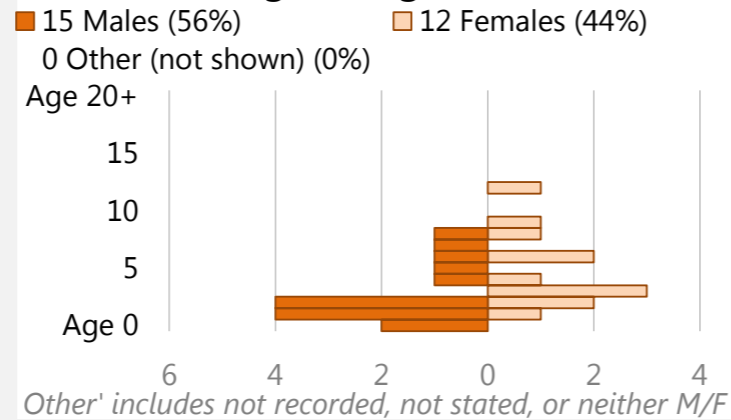
- 12 Child/ren adopted last 12 months
- 14 Child/ren waiting to be adopted (14 Child/ren waiting with placement order)
- 0 Child/ren with decision reversed

### Ethnic background

White	56%
Mixed	30%
Asian or Asian British	0%
Black or black British	15%
Other ethnic group	0%
Not stated	0%
Not recorded	0%

See page 20 for comparisons

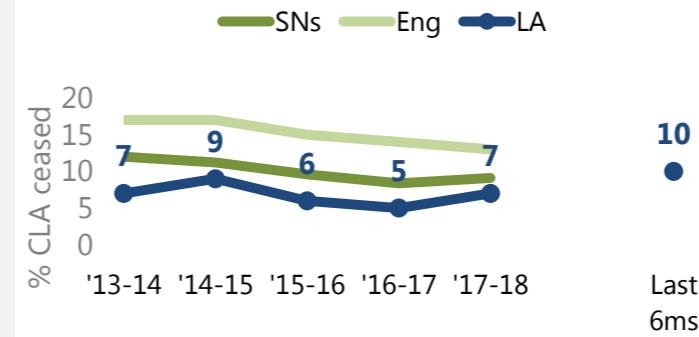
### Age and gender



0 children (0%) with a disability

## Of the 70 children who ceased to be looked after in the last 6 months, 7 was/were adopted (10%)

### Children ceased who were adopted



### Children aged 5-plus who were adopted

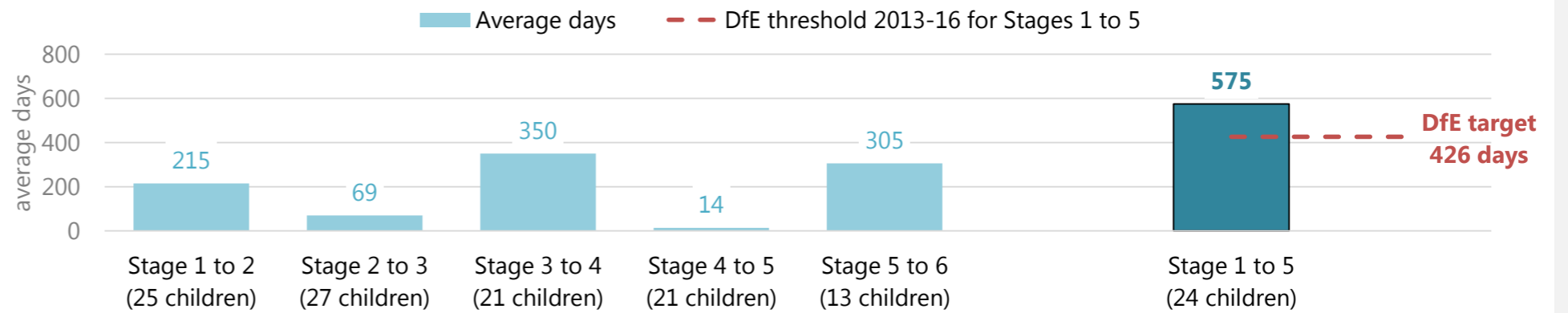
0% of the 56 children aged 5-plus who ceased to be looked after in the last 6 months were adopted

### Comparing 5-plus adoptions

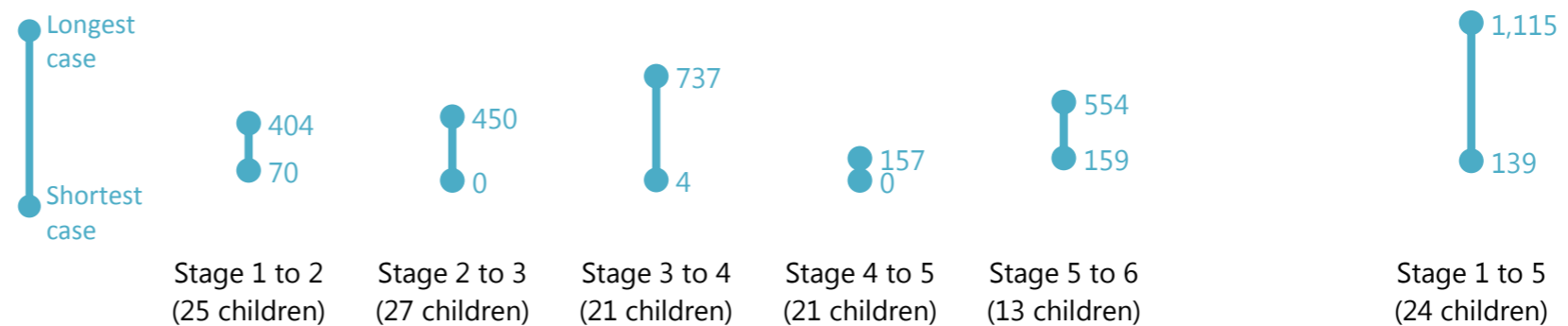
LA last 6 months	0.0%
LA 2013-16 (3 yr average)	2.0%
SNs 2013-16 (3 yr average)	5.0%
Eng 2013-16 (3 yr average)	5.0%

## Timeliness of each stage of the adoption process

### Average duration of each stage (number of days)



### Range in days between shortest and longest cases at each stage

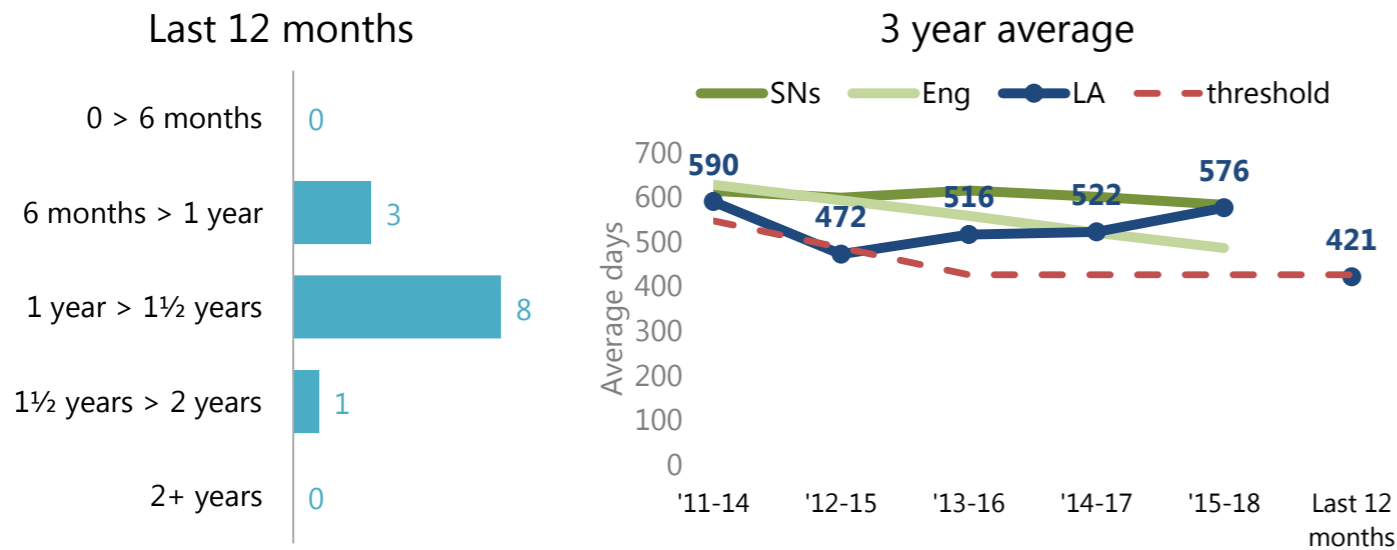


Adoption benchmarking

from 11/06/2018 to 10/06/2019

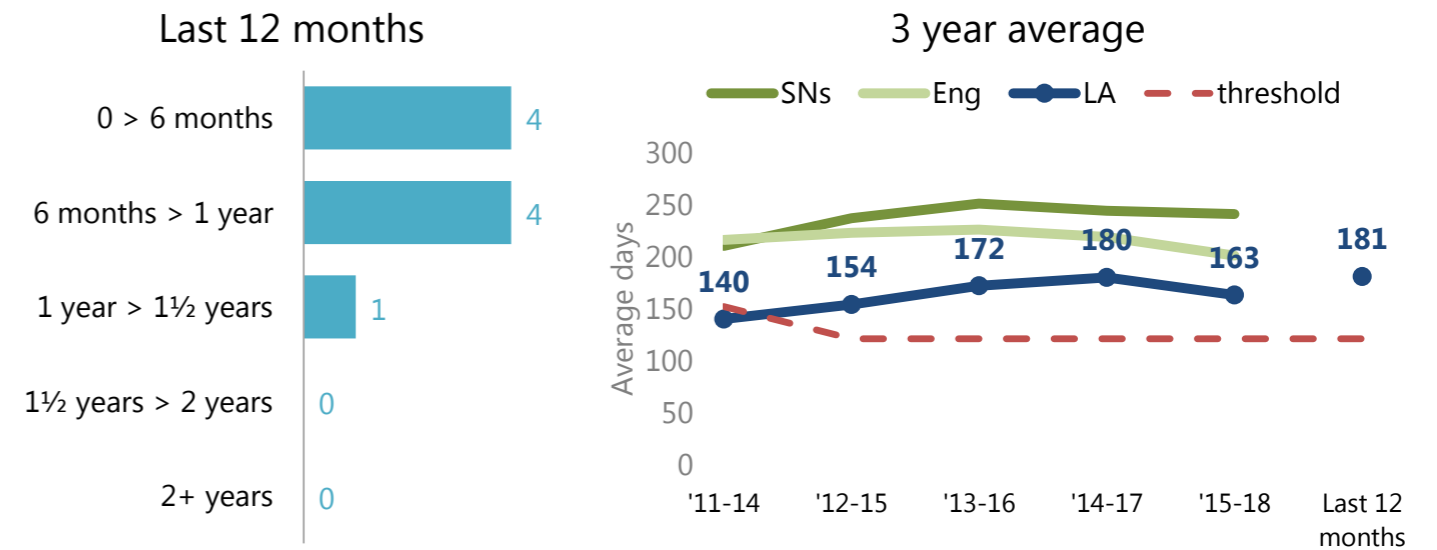
(A1) Time between entering care and placed with family for adopted children

**421 days** The average number of days from the date the child entered care to the date the child moved in with their adoptive family for adopted children  
 12 children



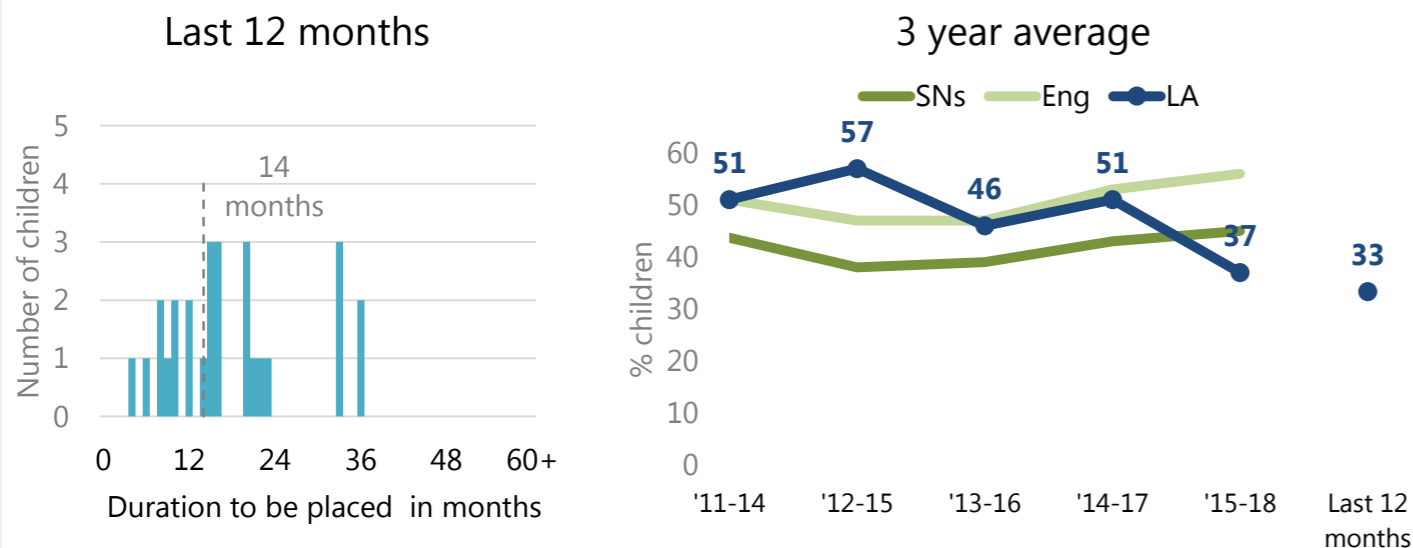
(A2) Time between placement order and deciding on a match

**181 days** The average number of days from the date of the placement order to the date the child was matched to prospective adopters  
 9 children



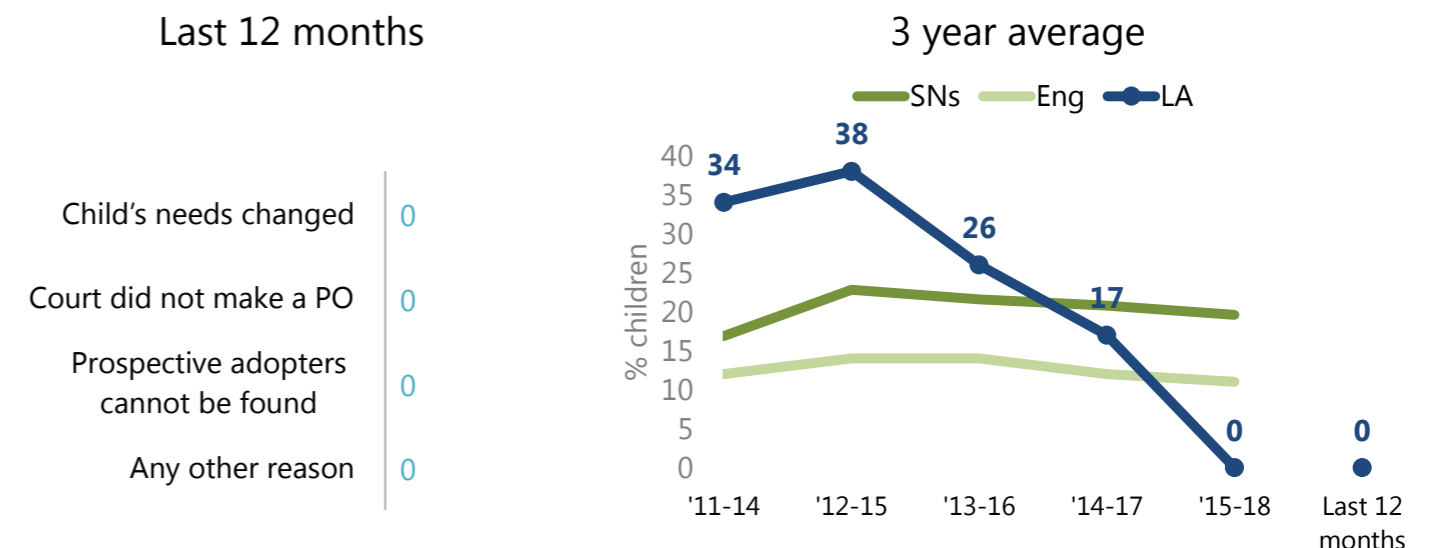
(A3) Time between entering care and placed for adoption

**33%** Children placed who waited less than the threshold between entering care and being placed for adoption (threshold: 14 months for 2013-16)  
 9/27 children



(A5) Permanence decision changed away from adoption

**0%** Children where there was a decision that the child should no longer be placed for adoption  
 0/27 children





Prospective adopters in the last 12 months

from 11/06/2018  
to 10/06/2019

## 55 prospective adopters (28 families)

### Prospective adopter current status

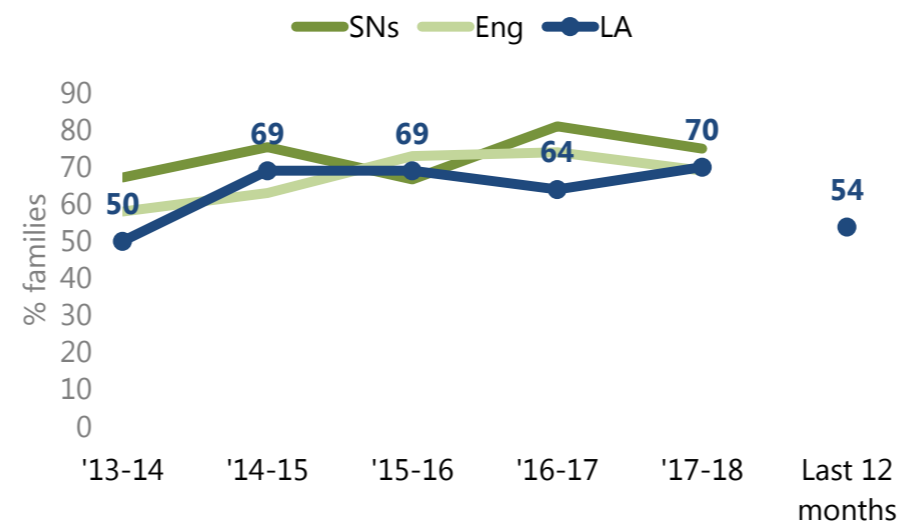
	Adults	Families
Child adopted	18	10
Child placed	13	5
Child matched	0	0
Application	21	11
Enquiry	3	2
Withdrawn	0	0

### Ethnic breakdown

	Adults %	Children %
White	62%	56%
Mixed	9%	30%
Asian or Asian British	13%	0%
Black or black British	11%	15%
Other ethnic group	5%	0%
Not stated	0%	0%
Not recorded	0%	0%

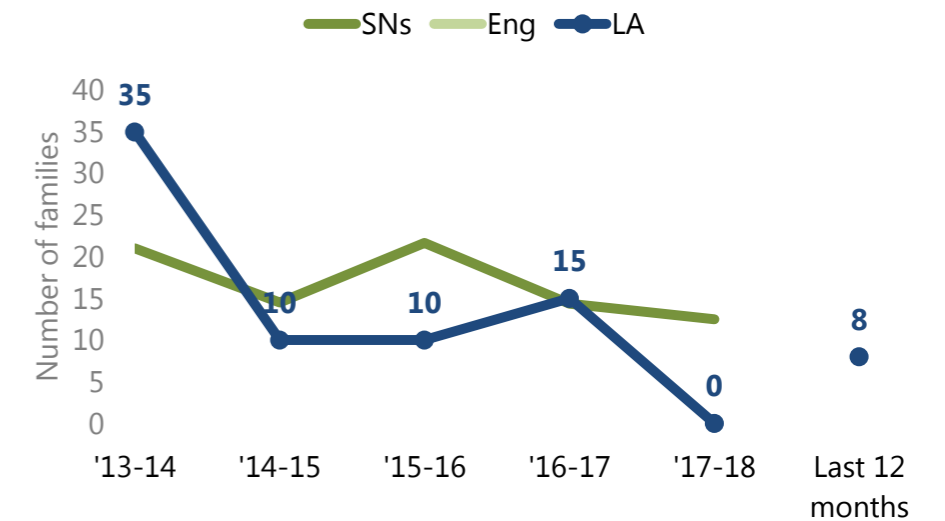
### Adoption Scorecard A12 - wait to be matched

Percentage of adoptive families matched to a child who waited more than three months between approval and matching



### Adoption Scorecard A15 - new ADM decisions

Number of new ADM decisions in the year (ADM = Agency Decision-Maker)

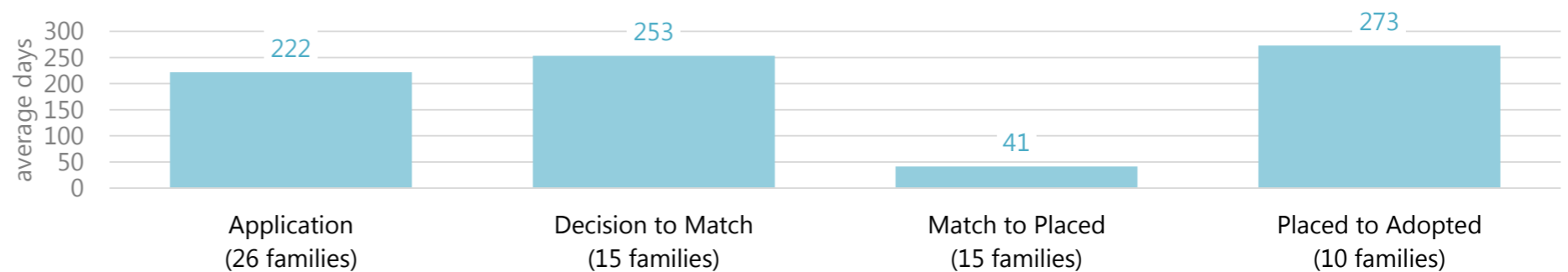


### New two-stage adoption process

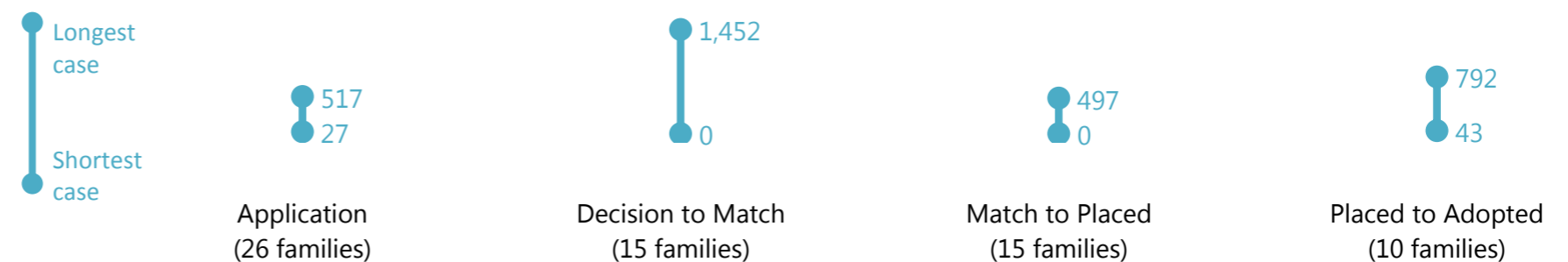
- Stage 1 start** Registration of interest
- Stage 1 end** Decision of suitability to adopt
- Stage 2 start** Adopter's wish to proceed
- Stage 2 end** Agency Decision-Maker (ADM decision)
- Matched** Family matched with child(ren)
- Placed** Child(ren) placed with family
- Adopted** Adoption order granted

### Duration of each stage of the adoption process

Average duration of each stage (number of days)



Range in days between shortest and longest cases at each stage

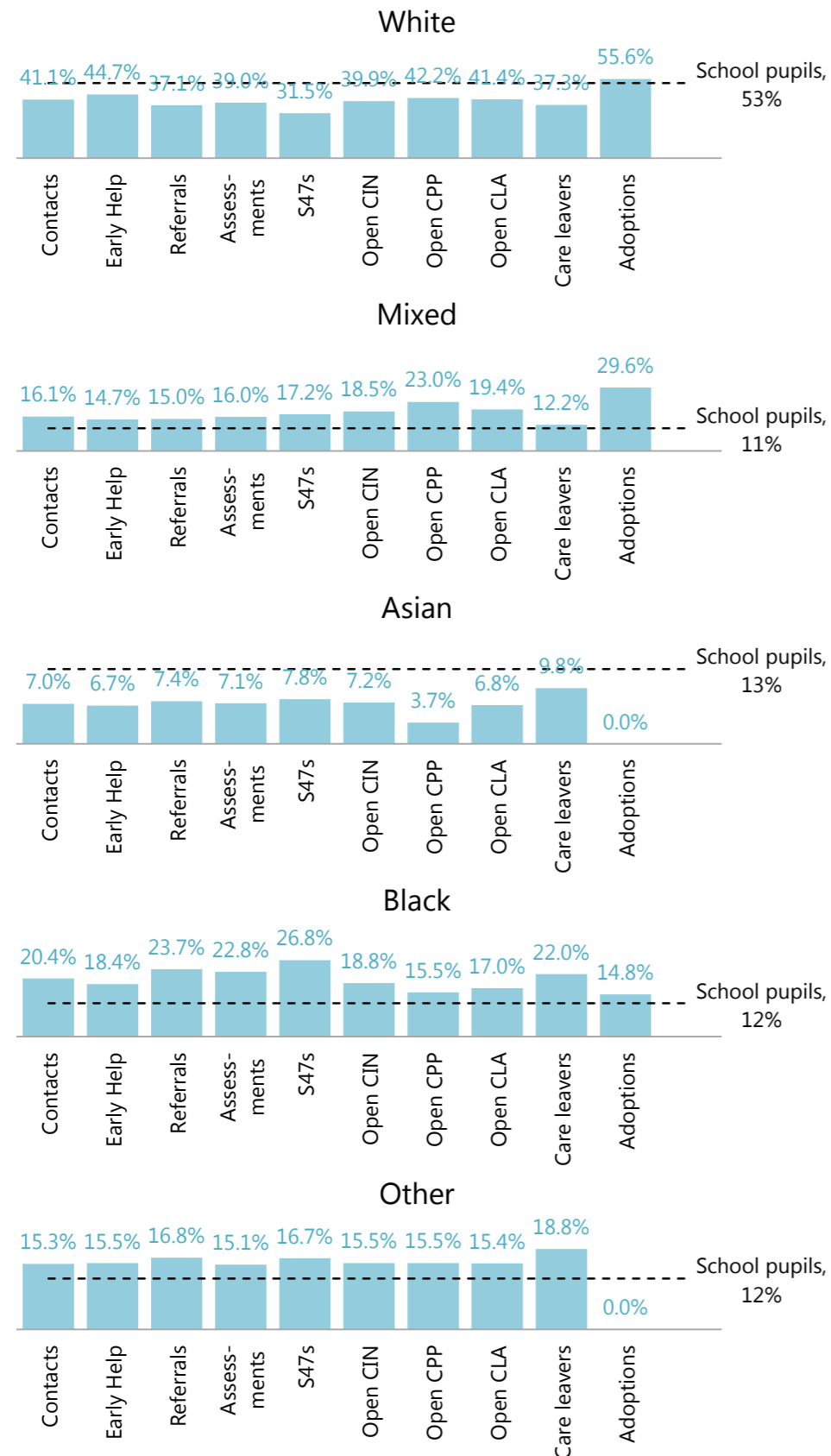


## Demographics of children across all areas of children's social care

Snapshot 10/06/2019

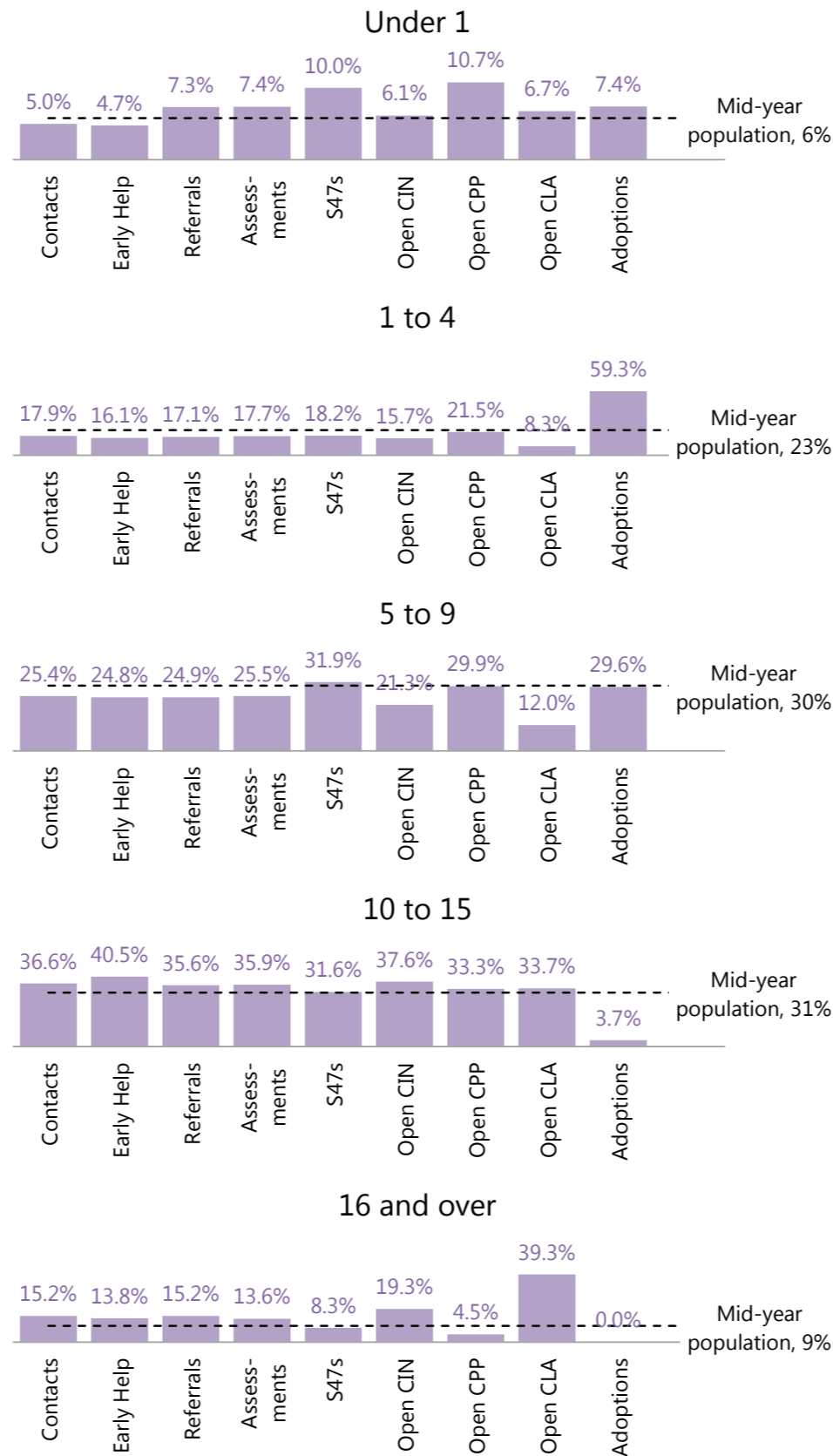
### Ethnicity

ChAT\* compared to pupils in the LA's primary and secondary schools (Jan-18)  
\*percentage of known ethnicity only



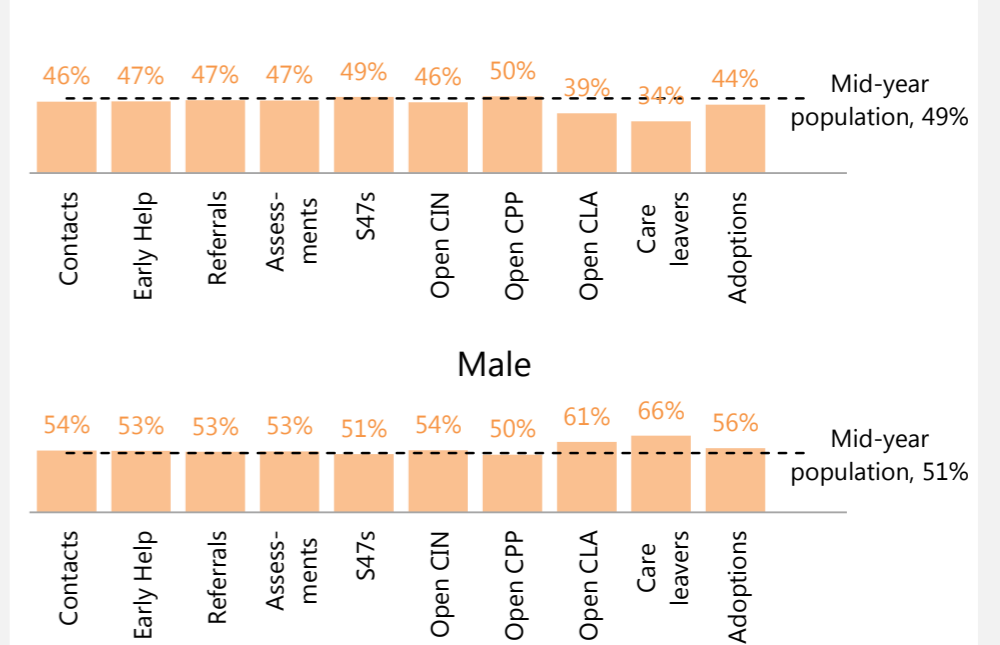
### Age

ChAT\* compared to mid-year population estimates (ONS-2017)  
\*percentage of known age only



### Gender

ChAT\* compared to mid-year population estimates (ONS-2017)  
\*percentage of Male / Female genders only, excludes Other



### Comparing CLA demographics

CLA figures compared to published population statistics

#### Ethnicity

	LA Latest snapshot			LA 2018			Eng 2018		
	CLA	Pop	% difference	CLA	Pop	% difference	CLA	Pop	% difference
White	41	53	lower -22%	39	53	lower -26%	75	75	no dif 0%
Mixed	19	11	higher 82%	19	11	higher 79%	9	6	higher 54%
Asian	7	13	lower -48%	9	13	lower -31%	5	11	lower -55%
Black	17	12	higher 44%	18	12	higher 54%	7	6	higher 22%
Other	15	12	higher 29%	16	12	higher 34%	3	2	higher 27%

#### Age

	LA Latest snapshot			LA 2018			Eng 2018		
	CLA	Pop	% difference	CLA	Pop	% difference	CLA	Pop	% difference
Under 1	7	6	higher 17%	7	6	higher 21%	6	6	higher 9%
1 to 4	8	23	lower -64%	7	23	lower -70%	13	23	lower -44%
5 to 9	12	30	lower -60%	9	30	lower -70%	19	29	lower -36%
10 to 15	34	31	higher 8%	37	31	higher 18%	39	32	higher 23%
16-plus	39	9	higher 316%	40	9	higher 324%	23	10	higher 122%

#### Gender

	LA Latest snapshot			LA 2018			Eng 2018		
	CLA	Pop	% difference	CLA	Pop	% difference	CLA	Pop	% difference
Male	61	51	higher 19%	62	51	higher 21%	56	51	higher 9%
Female	39	49	lower -20%	38	49	lower -22%	44	49	lower -10%



Comparisons of headline figures and performance data to published statistics

The table below shows the Local Authority's latest data for each indicator as calculated in ChAT, and the direction of travel since the latest published statistics (where available).

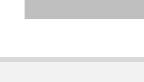
Decreasing, low is good



Increasing, high is good



No change, not RAG rated



Lowest 25% quartile, low is good



Highest 25% quartile, high is good



Mid 50% range, not RAG-rated



Indicator	Latest data (ChAT)			Latest published statistics for all local authorities					Date
	LA	Direction of travel		LA	SNs	Eng	LA compared to mid-50% range of all LAs		
Referrals received (annual rate per 10,000 of children)	331	Decrease	←	423	479	553	Lower	○	2017-18
Referrals to social care that were within 12 months of a previous referral (%)	16	Decrease	←	17	17	21	In range	○	2017-18
Assessments completed (annual rate per 10,000 of children)	382	Decrease	←	471	503	532	In range	○	2017-18
Assessments completed within 45 working days (%)	89	Increase	→	66	89	83	Lower	○	2017-18
Children subject to section 47 enquiries (annual rate per 10,000 of children)	90	Decrease	←	108	155	167	Lower	○	2017-18
Children subject of an initial child protection conference (annual rate per 10,000 of children)	22	Decrease	←	31	66	67	Lower	○	2017-18
Initial Child Protection Conferences held within 15 working days of the start of the section 47 enquiry (%)	86	Increase	→	65	84	77	Lower	○	2017-18
Children in need (snapshot rate per 10,000 children)	184	Decrease	←	230	306	341	Lower	○	2017-18
Children who are the subject of a child protection plan (snapshot rate per 10,000 children)	19	Increase	→	18	41	45	Lower	○	2017-18
Children who became the subject of a CP plan for a second or subsequent time (%)	7	Decrease	←	10	16	20	Lower	○	2017-18
Children who ceased to be on a CP plan whose plan lasted 2 years or more (%)	3	Decrease	←	8	3	3	Higher	○	2017-18
Children who are looked after (snapshot rate per 10,000 children)	36	Decrease	←	37	44	64	Lower	○	2017-18
Children looked after who had a missing incident in the period (%)	21	Increase	→	17	13	11	Higher	○	2017-18
Children looked after who were away without authorisation in the period (%)	12	Increase	→	9	7	4	Higher	○	2017-18
Children looked after who had their teeth checked by a dentist in the last 12 months (%)	69	Decrease	←	86	90	84	In range	○	2017-18
Children looked after who had their annual health assessment (%)	90	Decrease	←	98	94	88	Higher	○	2017-18
Children who ceased to be looked after in the period who were adopted (%)	10	Increase	→	7	9	13	Lower	○	2017-18
Children who ceased to be looked after in the period due to a Special Guardianship Order (%)	3	Decrease	←	13	20	11	In range	○	2017-18
Children leaving care over the age of 16 who remained looked after until their 18th birthday (%)	93	Increase	→	81	70	74	Higher	○	2017-18
Care leavers aged 19-21 in suitable accommodation (%)	98	Increase	→	81	80	84	In range	○	2017-18
Care leavers aged 19-21 in education, employment, or training (%)	64	Increase	→	44	50	51	Lower	○	2017-18
A1 - Average time between entering care and moving in with family for children who were adopted (days)	421	Decrease	←	576	583	486	Higher	○	2015-18
A2 - Average time between LA receiving placement order and LA deciding on a match with family (days)	181	Increase	→	163	241	201	In range	○	2015-18

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Risk ID	Short Risk Title	Long Description	Risk Owner Job Title	Primary Risk Category	Corporate Plan Priority	Controls and Mitigations in Place	Inherent Risk		Residual Risk			Target Risk		Response Option
							Impact	Likelihood	Impact	Likelihood	Risk Score	Impact	Likelihood	
<b>Strategic Risks</b>														
STR16	Environmental sustainability	An inability to adequately manage the environmental impact of resident and business activities (such as air quality, resource management and climate change) could lead to negative long-term consequences to the local environment resulting in statutory environmental duties and targets not being met; financial consequences; and not protecting the environment for future generations.	Executive Director Environment	Statutory Duty	ENV-Creating a healthy environment	-Delivering air quality action plan -Rolling out electric vehicle charging points -Developing a reduction and recycling waste plan -Planting trees on highways (in 1st year - more to do and funding to do this)	4	5	4	5	20	3	3	Treat
STR17	Strengthening safeguarding	If the council does not maintain strong safeguarding arrangements for children then there is a risk that children will suffer significant harm	Executive Director Children's Services	Statutory Duty	CE&S - Improving services for children and young people	-Delivery of robust delivery plan to take recommendations forward. -Monitoring of impact of delivery 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 Multiagency safeguarding Arrangements membership and work programme. -Leadership from the Chief Executive, Borough Commander and Lead Officer in the CCG to drive forward action plan, and galvanise resources from across the council and partners to support further 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 levels	5	4	4	4	16	4	3	Treat
STR09	Increase in the NLWA levy	The expected replacement of the NLWA Energy from Waste (EFW) facility (expected 2026) could lead to an increase in the waste disposal levy of potentially up to £8million per annum and any additional financial cost relating to delays in the construction of the EFW resulting in an increased financial pressure on the council.	Executive Director Environment	Finance	ENV - Getting Barnet clean through efficient street cleaning services, minimising and recycling waste, and weekly bin collections	- Active engagement through officers and NLWA Members - Development of long-term financial strategy - Ongoing analysis of waste data flows	5	5	5	3	15	5	2	Treat
STR08	Major regeneration schemes (incl. Brent Cross)	Failure to effectively manage the major regeneration schemes (incl. Brent Cross) could lead to delays resulting in significant financial implications for the council (e.g. loss of revenue) and local economy.	Deputy Chief Executive	Finance	ARG - Responsible delivery of our major regeneration schemes to create better places to live and work, whilst protecting and enhancing the borough	- Steering Groups are in place to discuss the works and ensure there is project documentation. - Project boards are in place to discuss and monitor the works- Regular review at GROB (growth, regeneration, operations boards)- Regular review Brent Cross Governance Board -Scheme by scheme basis, teams will investigate market conditions	5	5	5	3	15	5	3	Tolerate
STR19	Failure of third party Pension administrator meeting standards	Poor performance levels could result in delays meeting statutory deadlines (e.g. annual benefit statements / valuations) and / or member benefits being inaccurate or paid late resulting in enforcement action by the Pensions Regulator, which can include financial penalties; reputational risk through negative media exposure; and members not receiving the correct benefits or receiving benefits late.	Director of Finance	Finance	P&R -Ensuring we have strong financial management to make best use of our limited resources	-Recruitment of an interim pension manager to enhance client side management and internal scheme governance. -Monthly update meetings to measure progress against service improvement plans.	4	4	4	3	12	3	2	Treat
STR02	Customer experience	Lack of join up of systems across the council and strategic partners, skilled staff or training could lead to customer expectations not being met resulting in a poor customer experience or quality of service.	Deputy Chief Executive	Finance	P&R - Continuing to improve Customer Services	- Demand reduction initiatives with high volume services and CSG agreed with timelines for delivery - Customer transformation programme delivering a range of online improvements which should limit the need for customers to call us - safeguards in place to protect service areas that are used by the most vulnerable residents and those that cannot get online - Monthly web performance meeting group are held - Accessibility reports are run to address shortcomings in accessing content for customers with accessibility needs.	4	4	4	3	12	4	2	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner Job Title	Primary Risk Category	Corporate Plan Priority	Controls and Mitigations in Place	Inherent Risk		Residual Risk			Target Risk		Response Option
							Impact	Likelihood	Impact	Likelihood	Risk Score	Impact	Likelihood	
STR07	Workforce engagement	Insufficient staff engagement (lack of investment and empowerment) and inadequate succession planning could lead to problems with recruitment and staff dissatisfaction, skilled staff leaving and high vacancy rates resulting in failure to meet statutory duties or council priorities; and workforce and financial pressures.	Chief Executive	Staffing & Culture	P&R - Ensuring we have strong financial management to make best use of our limited resources	1. A new recruitment system is in place to improve and streamline the recruitment process making it easier for both hiring managers and prospective candidates. 2. The council has invested in new office accommodation to provide a new, modern working environment to support flexible working 3. The council is investing in its training and development offer so that staff can continuously develop within their profession. Including accessing opportunities presented by the Apprenticeship Levy. 4. Continued roll out of the healthy workplace charter action plan with a rolling monthly programme of healthy initiatives for staff.	4	4	4	3	12	4	2	Treat
STR05	Resilience management	Insufficient resilience management (e.g. Business Continuity, Emergency Planning, H&S) could lead to the council being unable to respond effectively to an emergency or incident resulting in disruption to services; harm to staff or the public; and legal challenge.	Director of Assurance	Business Continuity	P&R - Being resilient as a local authority	- Current review of EP and BC arrangements including strategy, exercises, training and resources - Implementation of 2018 Audit Recommendations - Corporate BC Strategy and Plan in plan. - Maintenance of BC lead network - Identification of P1 staff and relocation venues across the councils sites - Corporate Health and Safety Management system in place: Health and Safety Policy, risk assessment and review, training, monitoring and reporting performance .	4	5	4	3	12	4	2	Treat
STR14	Perception of safety	An increase in knife crime in London, hate crime and fake news could lead to a reduction in residents' perceptions of safety in the wider community resulting in an increase in community tension and demand for services.	Executive Director Environment	Statutory Duty	CLL - Keeping Barnet safe	-Working with Barnet Safer Community Partnership -Invested in Environmental Enforcement (e.g. litter and flyposting) -Action Days with Police in partnership with Re (regulatory Services) -Invested in CCTV across the Borough -Work with Barnet Homes on environmental & regulatory enforcement (e.g. noise and pests) and joint action across Estates	4	4	4	3	12	3	2	Treat
STR13	Community cohesion	Insufficient community engagement and/or participation following national and / or local tensions could lead to anti-social behaviour; breakdown of community cohesion resulting in civil unrest and an increase in hate crime.	Deputy Chief Executive	Business Continuity	CLL - Celebrating our diverse and strong communities and taking a zero-tolerance approach to hate crime	Working in partnership with the Police to monitor tensions and local issues, and response. Working with the Barnet Multi Faith Forum and Community Together Network to increase engagement with the community. Delivering initiatives to encourage and celebrate cohesion such as Together we are Barnet.	4	4	4	3	12	4	2	Treat
STR03	Funding uncertainty due to economic downturn	A downturn in the economy could lead to financial pressures due to a large proportion of our funding coming from council tax income and business rates income. This could result in a reduction in service quality; non-delivery of the MTF5; and use of reserves.	Director of Finance	Finance	P&R - Ensuring we have strong financial management to make best use of our limited resources	- Analysis of monthly collection performance - Analysis of Housing Benefit and Council Tax Support awards and claims - Contingency and reserves in place to mitigate the short term impact. - Undertake forward planning, regularly updating budget assumptions and monitoring the Government's fiscal announcements. However, also maintain flexibility within existing plans to instigate recruitment freezes in non-frontline services whilst long term plans are being put into place. -Maintain good contacts with Central Government to remain as informed as possible.	5	3	4	3	12	4	3	Tolerate
STR15	Declining health of town centres	Changes in the retail sector (e.g. online shopping, inflexible leases, high rents) could lead to a declining health of local town centres (with low business survival rates and high vacancy rates) resulting in a poor quality place; loss of business rates and lack of local physical services; and fewer jobs.	Deputy Chief Executive	Finance	ARG - Supporting local businesses to thrive	- Dedicated officer in place to engage and support business support activities; dependency on the council is generally limited to maintain a focus on council priorities - Putting in place SPDs and planning instruments to allow for flexibility in town centre developments. - Working with redevelopers north Finchley, bidding for GLA and government grants. Seek funding where possible. work with major landowners to increase football (Cricklewood, Edgware) - Work with Town teams to take responsibility	3	5	3	4	12	3	3	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner Job Title	Primary Risk Category	Corporate Plan Priority	Controls and Mitigations in Place	Inherent Risk		Residual Risk			Target Risk		Response Option
							Impact	Likelihood	Impact	Likelihood	Risk Score	Impact	Likelihood	
STR11	Prevention and managing demand	If capacity in the market (private or voluntary) falls this could lead to an unmanageable demand for Adult Social Care services within the current envelope (staffing/financial resources) resulting in a failure to meet statutory duties and additional pressure on staffing and finances.	Executive Director Adults and Health	Statutory Duty	A&S -Supporting those with disabilities, older, and vulnerable residents to remain independent and have a good quality of life	-For all contracted services due diligence is undertaken at the start of each contract to ensure quality and sustainability of providers. -Regular contract monitoring is undertaken with providers, with more visits to higher risk providers. There is also a clear provider failure / closure approach to manage closure of homes and safe transition of service users if required. more streamline and better focus on quality. - Working across North Central London to share ideas / learning how quality improvement programmes, including scoping opportunities For a more integrated approach with health. - Ongoing work to monitor the sustainability of the sector and explore best use of council resources to support this (including the awarding of inflationary uplifts)	4	4	4	3	12	4	2	Treat
STR12	Relationship with healthcare providers and partner organisations	Ineffective relationships with healthcare providers and partner organisations such as the NHS could lead to an inability to manage demand resulting in failure to meet statutory duties and safeguarding of vulnerable residents.	Executive Director Adults and Health	Statutory Duty	A&S -Safeguarding adults at risk of abuse and neglect	Joint planning and coordination work takes place through the Joint Health and Wellbeing Strategy and other Health and Wellbeing Board work, and at North Central London level through the Sustainability and Transformation Plan process.  Actively monitoring of referral and activity data and escalating any concerns to the Trust. Monitoring sign off of DTOC's across Acute, Community and Mental Health NHS trusts.	4	4	4	3	12	4	2	Treat
STR06	Safeguarding adults	If council services and partners do not effectively manage safeguarding risks this could lead to a safeguarding incident resulting in potential harm to individuals and/or families, legal challenge and interventions from Ofsted or MHCLG.	Executive Director Adults and Health	Statutory Duty	A&S -Safeguarding adults at risk of abuse and neglect	- For all contracted services due diligence is undertaken at the start of each contract to ensure quality and sustainability of providers. - Regular contract monitoring is undertaken with providers, with more visits to higher risk providers. There is also a clear provider failure / closure approach to manage closure of homes and safe transition of service users if required. more streamline and better focus on quality. - Working across North Central London to share ideas / learning how quality improvement programmes, including scoping opportunities For a more integrated approach with health. - Ongoing work to monitor the sustainability of the sector and explore best use of council resources to support this (including the awarding of inflationary uplifts) - Updated training and local pathways and local ISA in place to improve pathways, with performance framework in place.	4	4	4	3	12	4	2	Treat
STR10	Growth agenda	Failure to manage the growth agenda could lead to a poor quality of place (physical and social infrastructure) resulting in resident dissatisfaction; lack of community; reduced CIL, New Homes Bonus and Council Tax growth; and lack of economic potential.	Deputy Chief Executive	Finance	ARG - Responsible delivery of our major regeneration schemes to create better places to live and work, whilst protecting and enhancing the borough	2. Regular review at GROB (growth, regeneration, operations boards) 3. Scheme by scheme basis, teams will investigate market conditions 4. Active engagement with Building industry to encourage appropriate development in the borough 5. Working closely with community to ensure benefits of growth are widely spread and distributed 6. Finalising of The Local Plan to ensure appropriate Cal/S106 charges	5	3	5	2	10	5	2	Tolerate
STR04	Financial Management	If financial management and controls are not sufficient this could lead to budget overspend, non-achievement of MTFS targets and the council not ensuring appropriate administration of public funds resulting in possible financial and reputational losses.	Director of Finance	Finance	P&R -Ensuring we have strong financial management to make best use of our limited resources	- Regular budget monitoring meetings with budget managers - Regular reporting to CMT - Mitigating actions to contain overspends identified and implemented - Achievement of savings tracked and alternative actions indented where not achievable	4	4	3	3	9	2	1	Treat

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							Impact	Likelihood	Impact	Likelihood	Risk Score	Impact	Likelihood	
STR18	Neglecting corporate parenting duty	If the council and its partners neglect to fulfil their duty as Corporate Parents this 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.	Executive Director Children's Services	Statutory Duty	CE&S - Improving services for children and young people	-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 Action Plan is being implemented. The Virtual School has invested in a strong structure and resources are targeted to improve outcomes, through the Personal Education Plan (PEP) process. -The 'Onwards and Upwards' care-leaving service is located in a town centre, where care leavers can access support and a broad range of multi-agency services. Strategic links have been developed with key partners. -A multi-agency forum, Corporate Parenting Officers Group, has been established to track and monitor planning for children in care and care leavers. -Members at Full Council agreed new arrangements for the Corporate Parenting Advisory Group at its meeting on 6 March 2018.	4	4	3	3	9	3	2	Treat
STR01	Non-delivery of services	Ineffective governance, leadership, management or weak internal control environment could lead to poor quality or non-delivery of services resulting in dissatisfaction; failure to meet statutory duties or council priorities; potential harm to the public; and legal challenge.	Chief Executive	Statutory Duty	P&R -Ensuring we have strong financial management to make best use of our limited resources	- Weekly CMT meetings with regular oversight of budgets, performance, risk and audit activity - Regular reporting of budgets, performance and risk to Policy & Resources Committee, Financial Performance & Contracts Committee and Theme Committees - Annual audit of performance and risk management frameworks to ensure compliance - Annual audit plan - Monthly Internal Controls Board (ICB) - Regular reporting of audit activity to Audits committee - Controls to mitigate the associated risk, AG020 -. If audit actions are not implemented this could lead to a deterioration in the council's control environment and result in the Head of Internal Audit providing a Limited Assurance Annual Opinion.'	5	3	3	2	6	2	1	Treat
Service Risks														
Adults, Communities and Health														
AC001	Increased overspend to meet statutory duties	LBB could have insufficient resources to meet its statutory duties with regard to adult social care 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. Alternatively, it would lead to a deterioration in the Council's overall financial position. There are reduced opportunities to invest through reserves, service budgets are not currently balanced and this could reduce opportunities to invest in preventative services.	Executive Director Adults and Health	Statutory Duty	A&S -Efficient delivery of statutory duties	The council's budget management process (MTFS) forecasts demographic growth and pressures over a multi-year period. Budget and performance monitoring and management controls are used throughout the year. Work to reduce addressable spend is being carried out in year, much progress has been made already on agency staff. The MTFS to 2024 will identify future demand pressures, and the council will undertake initiatives focused on reducing and managing future demand in response. There is a programme of work underway and a pipeline of activity due to commence to maximise existing arrangements for prevention spend and proactively manage other financial risks.	5	5	5	4	20	3	3	Treat
PH06	Pandemic Influenza type disease outbreak	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 resulting in an impact on service delivery and the health protection of residents	Director of Public Health	Statutory Duty	HWBB - Continuing improvements on preventative interventions	Barnet multi-agency pan flu preparedness exercises and plans.	5	4	5	4	20	5	4	Tolerate
AC044	Leisure operator performance against contract	The performance of the leisure operator to deliver against contractual obligations and commitments could lead to the health and wellbeing priorities not being fulfilled leading to possible consequences to service delivery and finances.	Assistant Director Greenspaces & Leisure	Business Continuity	A&S -Encouraging residents to lead active and healthy lifestyles and maintain their mental wellbeing	The leisure contract continues to be monitored in alignment with the Performance Management Framework to ensure delivery against obligations / commitments and targets are met. An unexpected closure of the pools at Finchley Lido Leisure Centre since March (anticipated to open late summer/early autumn - exact dates to be confirmed post conclusion of full structural review) will impact the achievement of performance and financial targets/projections. The SPA team are working with the leisure operator to understand and minimise impact. Disrupted service delivery is being absorbed at other leisure facilities where possible and public Comms is being managed.	4	5	4	4	16	4	2	Treat

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							Impact	Likelihood	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 Ongoing Support	Statutory Duty	A&S -Efficient delivery of statutory duties	A programme board is in place to drive delivery of a fully functioning case management system (Mosaic) -A new provider, Bettergov, has been appointed to complete the implementation of the system -Regular reports are being used to confirm that frontline social care business processes are running to expectations and that any issues are quickly identified -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 -LBB to continue close monitoring of plan and delivery	5	5	5	3	15	1	1	Treat
<b>Assurance</b>														
AG020	Audit actions not implemented	If audit actions are not implemented this could lead to a deterioration in the council's control environment and result in the Head of Internal Audit providing a Limited Assurance Annual Opinion.	Head of Internal Audit	Statutory Duty	P&R - Being resilient as a local authority	Audit actions are recorded within Barnet Performs and discussed at monthly Contract Monitoring meetings (CSG and Re) to encourage implementation - Auditees are emailed asking for updates / evidence in advance of quarterly reporting to Audit Committee - Monthly Internal Controls Board (ICB) when officers are asked for updates against their actions and challenged if progress not made - Attendance required at Audit Committee if not implemented - Audit actions are agreed with auditees (as opposed to audit recommendations with management responses) to improve clarity over what is expected in order for audit to assess as implemented - Successful growth bid submitted for 2019/20 to address risk of increased number of audit actions being raised and subsequent non-implementation / additional follow-up work. Additional audit days to be allocated to this activity	4	5	4	4	16	4	3	Treat
<b>Finance</b>														
FIN001	Impact of political uncertainty on Finances	The uncertainty of the national and regional political landscape, legislative changes and local government funding could lead to changes that affect council services and as a result in a further reduction of the multi-year budget	Chief Executive	Finance	P&R -Ensuring we have strong financial management to make best use of our limited resources	-Contingency and reserves in place to mitigate the short term impact. -Undertake forward planning, regularly updating budget assumptions and monitoring the Government's fiscal announcements. However, also maintain flexibility within existing plans to instigate recruitment freezes in non-frontline services whilst long term plans are being put into place. -Maintain good contacts with Central Government to remain as informed as possible.	5	4	5	3	15	4	2	Treat
FIN002	Implementation of 2019/20 savings	If the savings identified for 19/20 are not fully implemented this could lead to non-achievement of MTF5 targets and an overspend on the revenue budget resulting in an impact on services and financial consequences for eh council	Chief Executive	Finance	P&R -Ensuring we have strong financial management to make best use of our limited resources	-Monthly budget monitoring - Budget setting process validating savings	5	5	5	4	20	4	2	Treat
FIN003	Financial Controls	If there are ineffective internal controls, governance arrangements, or policies and procedures this could increase the risk of the council being unable to prevent an incident of organised or high value fraud, bribery or corruption resulting in possible financial and reputational loss.	Director of Finance	Finance	P&R -Ensuring we have strong financial management to make best use of our limited resources	-A thorough review of internal controls has been independently completed by Grant Thornton. The action plan that has been developed is in the process of being tested post implementation	5	5	5	3	15	5	1	Treat
<b>Growth and Corporate Services</b>														
G&C053	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.	Commercial and IT Director	Business Continuity	P&R -Ensuring we have strong financial management to make best use of our limited resources	-Contract management framework, with policy and procedures for commercial activity. -Contract monitoring takes place monthly with quarterly reporting to Financial Performance and Contracts Committee. -Contract register kept under review with checks on financial status of strategic suppliers. -Contract management arrangements in place, including indicators to identify financial stress. -Business continuity plans in place.	5	4	5	3	15	4	3	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner Job Title	Primary Risk Category	Corporate Plan Priority	Controls and Mitigations in Place	Inherent Risk		Residual Risk			Target Risk		Response Option
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G&C043	Housing Revenue Account plan viability	As a result of external pressures on the Housing Revenue Account (HRA) including could lead to the HRA business plan becoming economically unviable which results in an inability to meet statutory responsibilities for managing and maintaining the housing stock, reduction in service which in turn has an impact on residents and a requirement for further savings and efficiencies.	Head of Housing Strategy	Finance	HOUS - Tackling and preventing homelessness and rough sleeping	1. Homelessness prevention strategy - Ongoing project to look at further ways of reducing homelessness (Prevention work / Modular Temporary Accommodation) - Performance indicators and financial monitoring - Horizon scanning of legislation changes - professional memberships - In house lettings agency for procurement of PRS properties - Supply and demand modelling - Links to growth and regeneration operations board - Development pipeline - Out of borough acquisitions -Processes which prevent families and children being in B&B accommodation - Tracking impact of Homelessness Reduction Act from April 2018 - MHCLG visits/inspections assessing HRAAct preparedness and compliance PSR process to deliver savings of 2.2 million 2. Continue to monitor impact of homeless reduction act	5	5	3	5	15	3	3	Treat
Environment														
TS013	Passenger Transport Services move	The handback of NLBP will necessitate the relocation of PTS vehicles with operation to a suitable alternate site, not being able to secure suitable site will result in either incurring additional costs to extend the current lease (subject to availability) or cause disruption to the Home to School transport service for Special Education Need children in and out of borough.	Street Scene Director	Business Continuity	ENV - Keeping the borough moving, including improvements to roads and pavements	Depot move project are currently working on space planning exercise for Watling Carpark and Watling Market combine site. There are 2 other sites being considered as a back up, if Watling Carpark proves to be insufficient space.	5	5	5	4	20	4	3	Treat
SS018	Frontline employment and retention	Low employment/recruitment retention can be a challenge to recruit into frontline positions. This could lead to struggles to recruit the required staff and this could result in a detrimental impact on service levels, which could cause increased resident dissatisfaction and complaints	Street Scene Director	Business Continuity	ENV - Getting Barnet clean through efficient street cleaning services, minimising and recycling waste, and weekly bin collections	Utilising multiple markets and channels for recruitment.	4	4	4	4	16	2	2	Treat
PI011	Winter Service	As a result of relocating the gritting depot from Barnet to Harrow there is a risk that the associated increased travel time will be detrimental to the ability to deliver an effective service in terms of speed of response and in particular the possibility that this may prevent the three eastern routes from being treated within the required timescale which may lead to road traffic accidents, associated insurance claims and even non-compliance with statutory duty in extreme cases.	Executive Director Environment	Business Continuity	ENV - Keeping the borough moving, including improvements to roads and pavements	1. Contingency site found (at Gateway Services - Highways England site)and implemented. 2. Legal Agreement has been signed by Highways England granting the free use of the Gateway Services site to reload up to four of the Barnet gritting vehicles in times of snow. 3. Information supplied to the Property Team on the Service depot requirements - this is now in the hands of the Property Team to find a suitable site and is ongoing. 4. Relevant contacts at TfL identified and daily exchange of plans/information implemented. 5. Lessons learnt exercise from the 2018/19 gritting season and the review of the Winter Service Plan needs to be undertaken by Regional Enterprise and the plan suitably updated well in advance of the 19/20 winter gritting season due to commence in October 2019. The intention of this exercise is to make changes that will improve service outcomes, including changes that will assist in reducing timescales of completing gritting operations.	5	4	5	3	15	5	2	Treat
TS015	Change in LEZ and expansion of ULEZ	The extension and implementation of Low Emission Zones (LEZ) and Ultra Low Emission Zones (ULEZ) leading to council vehicles w to be either replaced or retrofitted with compliant technology for them to be use to deliver frontline service. This could result in a business continuity and financial impacts should existing vehicles need to be replaced..	Street Scene Director	Business Continuity	ENV - Getting Barnet clean through efficient street cleaning services, minimising and recycling waste, and weekly bin collections	Capital bid to procure new compliant vehicles have been submitted. CMT will be briefed on this matter summarising impact of this change for Barnet.	5	4	5	3	15	5	1	Treat
Joint Risks														
The Barnet Group														



Risk ID	Short Risk Title	Long Description	Risk Owner Job Title	Primary Risk Category	Corporate Plan Priority	Controls and Mitigations in Place	Inherent Risk		Residual Risk			Target Risk		Response Option
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TBG003	Increase in demand for homelessness services	As a result of increasing costs and continued high demand, this may lead to costs of temporary accommodation increasing resulting in cost pressure for the Housing General Fund.	Head of Housing Strategy	Finance	HOUS - Tackling and preventing homelessness and rough sleeping	<ul style="list-style-type: none"> <li>1. Homelessness prevention strategy</li> <li>- Ongoing project to look at further ways of reducing homelessness (Prevention work / Modular Temporary Accommodation)</li> <li>- Performance indicators and financial monitoring</li> <li>- Horizon scanning of legislation changes - professional memberships</li> <li>- In house lettings agency for procurement of PRS properties</li> <li>- Supply and demand modelling</li> <li>- Links to growth and regeneration operations board</li> <li>- Development pipeline</li> <li>- Out of borough acquisitions</li> <li>- Processes which prevent families and children being in B&amp;B accommodation</li> <li>- Tracking impact of Homelessness Reduction Act from April 2018</li> <li>- MHCLG visits/inspections assessing HRAct preparedness and compliance</li> <li>- PSR process to deliver savings of 2.2 million</li> <li>2. Continue to monitor impact of Homelessness Reduction Act</li> </ul>	5	5	3	5	15	3	3	Treat

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## POLICY AND RESOURCES (P&amp;R) COMMITTEE DELIVERY PLAN

## 1. INTRODUCTION

- 1.1 This report provides a **thematic overview of performance** for **Q1 2019/20** focusing on the MTFs savings and activities to deliver the **priorities** in the **Policy and Resources (P&R) Committee Annual Delivery Plan**, which can be found online at:  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=9461&Ver=4>

## 2. SAVINGS

- 2.1 The total amount of **savings** identified for P&R Committee in 2019/20 is **£2.312m**. This is shown in table 1.

Table 1: Savings forecast delivery (Q1 2019/20)

Ref	Service area	Description of Savings	Savings for 19/20	Q1 19/20 Forecast	Comment
P&R4	CSG	Capita contract price reduction	640	640	Reduction in contract price is contractual and has been delivered.
P&R4a	CSG	Further Capita contract savings	400	165	Delay in the new Service Model being implemented due to delays to Colindale and the website launch has impacted the ability to reduce resources earlier. A new service model is proposed to come in on 1 September. If this is approved then the underachievement of saving would be £165k; the service is reviewing options to plug this gap including not backfilling posts.
P&R5	Central expenses	Insurance contract renegotiation	22	22	
P&R6	Commissioning Group	Senior management changes (NB only counting savings in Commissioning Group here)	750	750	Restructure implemented.
P&R7	Commissioning Group	Reconfigure Communications & Strategy team and reduce running costs	183	183	Saving is dependent on recruitment of permanent staff to new structure, currently using interims, there is also an element of income.
P&R9	Cross-cutting Commissioning	Economies of scale from joined up professional support services	297	297	Saving deleted - funded from contingency.

Ref	Service area	Description of Savings	Savings for 19/20	Q1 19/20 Forecast	Comment
P&R21	Assurance	Stop refreshments for committee meetings	0.5	0.5	
P&R22	Assurance	Stop rental costs for member surgeries & use council owned / free premises	4	4	
P&R23	Assurance	Stop funding of BT lines for elected members	16	0	Savings delayed by 1 year due to contract timing.
<b>GRAND TOTAL</b>			<b>2,312</b>	<b>2,062</b>	

### 3. PRIORITIES

3.1 This section provides an update on the Committee's priorities as follows:

- A summary of progress on Actions<sup>1</sup> to deliver the priority
- Performance of Key Performance Indicators (KPIs)<sup>2</sup>
- Risks to delivering the Actions and priority
- High (15 to 25) level risks from the Corporate Risk Register<sup>3</sup>

3.2 The Q1 performance for each of the Committee's priorities is shown in table 2. This reflects the *overall performance on Actions, KPIs and Risks*<sup>4</sup> for each priority.

**Table 2: Priorities for P&R Committee**

Section	Committee Priority	Q1 Performance
4.	Ensuring we have strong financial management	Satisfactory
5.	Continuing to improve customer services	Satisfactory
6.	Continuing to work effectively with strategic partners	Good
7.	Planning strategically to enable Barnet to grow and meet the needs of residents	Limited
8.	Being resilient as a local authority	Good
9.	Ensuring residents are treated equally, with understanding and respect, and all have access to quality services	Satisfactory

<sup>1</sup> A Summary of the Actions is provided for each priority. These are RAG rated as follows: Complete or Good progress = GREEN (where no Actions RAG rated RED); Satisfactory progress = AMBER (where no more than one Action RAG rated RED) or Limited progress = RED (where two or more Actions RAG rated RED).

<sup>2</sup> KPI RAG rating reflects the percentage variance of the result against the target as follows: On target = GREEN (G); Up to 9.9% off target = AMBER (A); 10% or more off target = RED (R). The Direction of Travel (DOT) status shows the percentage variation in the result since last year e.g. Improving (↑ I), Worsening (↓ W) or Same (→ S). The percentage variation is calculated as follows: Q1 19/20 result minus Q1 18/19 result equals difference; then difference divided by Q1 18/19 result multiplied by 100 = percentage variation. Any results not for Q1 19/20 are illustrated by (s) snapshot at end of year or (r) rolling 12 months.

<sup>3</sup> The Corporate Risk Register includes strategic risks (strategic and business critical risks) and high (15 to 25) service/joint risks (service and contract delivery risks). All risks are managed in line with the council's risk management framework. The risk registers are live documents and the Q1 19/20 Corporate Risk Register provides a snapshot in time (as at end June 2019). The risk ratings are: Low = 1 to 3 (GREEN); Medium/Low = 4 to 6 (YELLOW); Medium/High = 8 to 12 (AMBER); and High = 15 to 25 (RED).

<sup>4</sup> The Overall Performance reflects Actions, KPIs and Risks as follows: Complete or Good progress = GREEN (where no Actions or KPIs RAG rated RED and no more than one high level risk); Satisfactory progress = AMBER (where no more than one Action or KPIs RAG rated RED and/or no more than two high level risks) or Limited progress = RED (where two or more Actions or KPIs RAG rated RED and/or more than two high level risks).

4. Ensuring we have strong financial management	Q1 Overall Performance
	Satisfactory

#### 4.1 Summary of Actions Satisfactory progress

- 4.1.1 The Q1 budget position showed an overspend of £6.022m (see Strategic Performance Report for more detail). There are plans in place to manage the financial position to achieve the target. Monthly monitoring is undertaken and corrective actions identified where required.
- 4.1.2 In Q1, 44% of savings had been delivered. There are some areas where the savings target is not achievable in the current year. In such instances, alternative savings proposals are being explored.
- 4.1.3 There were six high priority audit actions that were due to be implemented in Q1 that related to financial risk. Of these, only three of six (50%) were fully implemented within the quarter. The three remaining actions relate to Pensions Admin, Treasury Management - Bankline Access and Schools Payroll. Overall, 16 of 22 high (74%) priority audit actions were implemented in Q1.
- 4.1.4 A number of Corporate Anti-Fraud Team (CAFT) investigations were closed in Q1: 21 corporate fraud cases were closed; 62 concessionary travel fraud cases were closed; one financial investigation was closed; and 111 tenancy fraud cases were closed. These were reported to Audit Committee on 16 July 2019. The report can be found on the website at: <https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=144&MId=9846&Ver=4>

#### 4.2 KPIs

- 4.2.1 There are five KPIs for this priority, which monitor strong financial management. Four KPIs are Monitor only for Q1. One KPI did not meet the Q1 target.
- **Implemented high and medium audit recommendations relating to fundamental financial systems (RAG rated RED) – 50% against a target of 90%.** Three of six high audit recommendations relating to finance were implemented in Q1. The outstanding audit recommendations relate to Pension Administration, Bankline Access and Schools Payroll. Revised target dates within Q2 have been agreed and implementation will be confirmed by Internal Audit in August and September 2019.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Outturn is within £1m of the budget	Smaller is Better	New for 19/20	<£1m	Monitor	£6.022m	New for 19/20	New for 19/20	No benchmark available
In-year incoming resources balanced to outgoing resources	Smaller is Better	New for 19/20	-£4.2m	Monitor	£5.357m	New for 19/20	New for 19/20	No benchmark available
Budget savings being delivered	Bigger is Better	New for 19/20	Monitor	Monitor	40%	New for 19/20	New for 19/20	No benchmark available

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
High and medium audit recommendations issued relating to fundamental financial systems <sup>5</sup>	Smaller is Better	New for 19/20	Monitor	Monitor	3 <sup>6</sup>	New for 19/20	New for 19/20	No benchmark available
Implemented high and medium audit recommendations relating to fundamental financial systems	Bigger is better	New for 19/20	90%	90%	50% <sup>7</sup> (R)	New for 19/20	New for 19/20	No benchmark available

### 4.3 Risks

4.3.1 There are three risks to delivery of the actions for this priority. These have been assessed at a high (15 to 25) level and have controls/mitigations in place to manage the risks.

- **FIN001 - Impact of political uncertainty on Finances (risk score 20).** This was a new risk for Q1. The uncertainty of the national and regional political landscape, legislative changes and local government funding changes that affect council services could lead to further reduction of the multi-year budget. The Council Management Team has identified actions to help mitigate the existing overspend such as actively managing budgets in line with financial regulations. Action plans for savings are currently being developed and are expected by July 2019.
- **FIN002 - Implementation of 2019/20 savings (risk score 20).** If the MTFs savings identified for 2019/20 are not fully implemented this could lead to non-achievement of MTFs targets and an overspend on the revenue budget. Monthly budget monitoring processes are in place to supervise the budget, Budget monitoring with Finance partners and reporting progress on implementation and risks to CMT and Policy and Resources Committee throughout 2019/20. Following the insourcing of Strategic Finance on 1 April 2019 and refresh of the strategic risk register, this risk was moved from the strategic risk register to the Finance risk register.
- **FIN003 - Financial controls (risk score 15).** Ineffective internal controls, governance arrangements, or policies and procedures could lead to an increased risk of the council being unable to prevent an incident of organised or high value fraud, bribery or corruption. Following a review of internal controls in 2018 by Grant Thornton, an action plan was developed. Testing of the action plan has been ongoing with monitoring occurring in June 2019. Following the insourcing of Strategic Finance on 1 April 2019 and refresh of the strategic risk register, this risk was moved from the strategic risk register to the Finance risk register.

<sup>5</sup> This KPI measures new high and medium audit recommendations raised in the quarter, whereas the other indicator is about recommendations that have been implemented (but may have been raised in the previous quarter or even longer ago).

<sup>6</sup> The 'Pension Fund Finance and Investment' audit resulted in two high and one medium recommendation. The high priority recommendations related to Monitoring of contributions and Admission agreements, bonds and cessation agreements. The medium priority recommendation related to Collection of strain contributions.

<sup>7</sup> The result relates to high audit recommendations only in Q1.

4.3.2 In addition to the risks in the Annual Delivery Plan, there was a *service risk* for this priority that was scored at a high (15 to 25) level in Q1.

- **G&C053 - Commercial viability of strategic suppliers (risk score 15).** The risk has been transferred from the strategic risk register following its refresh and relates to the commercial viability of a strategic suppliers. This risk is being managed using the contract management framework and policy/procedures for commercial activity. Contract monitoring takes place monthly with quarterly reporting to the Financial Performance and Contracts (FPC) Committee. The contract register is kept under review with checks on the financial status of strategic suppliers. The council is continuing to collate relevant information should it be necessary to take over any services on short notice with additional information collated following the insourcing of Finance and Strategic HR on the 1 April 2019. Client Leads continue to ensure business continuity plans are in place for critical services.

5. Continuing to improve customer services	Q1
	Overall Performance
	Good

## 5.1 Summary of Actions Good progress

5.1.1 Phase 2 of the customer transformation programme completed in Q1, which delivered the following:

- A new website in February 2019, which made it easier and quicker for customers to complete top tasks and access key information. This included improved and simplified content, making the site more relevant to those who use it and improved navigation and search functionality, making it easier to find information. As well as the new website, all transactional forms on the site were upgraded to improve functionality and redesigned to make them more intuitive, for example by pre-populating information. Other improvements include fully integrated Council Tax online forms to enable residents to change address, register a new address and advise they are moving out, removing the need to phone the council or for staff to re-key information into systems manually.
- The ability to send proactive notifications was introduced into 'My Account'. There is work ongoing to make full use of this functionality through system integration and good data to ensure updates are accurate, relevant and in real time. Street Scene is leading a pilot exploring this functionality.
- There will be a fully automated online booking facility enabling residents to book appointments 24/7 for registering births, arranging weddings, booking sports facilities and library venue rooms from Q2.

5.1.2 Although good progress has been made, it is clear there is more to be done and the opportunity to improve both the customer experience and reduce costs is high. A customer experience survey was completed by over 2000 residents in Q1 and the data has been analysed to understand what still causes high levels of contact and frustration for residents. This data is being used to target and prioritise interventions for the next phase of customer improvements, which will be set out in a detailed delivery plan in the autumn. The next phase will focus on high volume areas, that cause customer frustration, and priority themes for improvement were identified as a result of what residents told us in the survey. These are summarised as:

- A focus on whole customer experience improving the end to end process
- Improving transparency with better progress updates preventing the need to chase
- Ensuring front line staff have the right information to prevent being passed around
- Improving communications and setting clearer expectations
- Improve process failures to ensure we get it right first time

5.1.3 Interventions to reduce call volumes and improve the online offer included launching a new library online catalogue and correcting out-of-date records on the 'DirectMe' online directory, which provides information on services and activities for children, young people and families in Barnet.

## 5.2 KPIs

5.2.1 There are five KPIs for this priority, which monitor customer services. Three KPIs met the Q1 target – satisfaction with customer services; web and phone volumes. One KPI was not reported in Q1. One KPI did not meet the Q1 target.

- **Satisfaction with the council's website – 31% against a target of 55%.** This KPI was below target in Q1 whilst other web performance measures showed an improvement. There was a continued upward trend of web usage and online transactions being completed, the web content quality score (rating on readability, completeness, user experience and security) increased to 95% (compared to 85% nationally) and there was no downtime on the website in Q1. A detailed analysis of web satisfaction data was conducted to understand this disparity. Statistically the usage has decreased and only represents a 0.3% sample of customers visiting the site. Although the feedback left can be useful to ensure continual improvement, it is difficult to gain meaningful assessment of the overall performance of the website from this measure.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Overall satisfaction with customer services (excl. web satisfaction)	Bigger is Better	90%	89%	89%	91% (G)	↑   +1%	90%	No benchmark available
Satisfaction with the council's website	Bigger is Better	32%	55%	55%	31% (R)	↓ W - 5%	32%	No benchmark available
Increase in web volumes <sup>8</sup>	Bigger is Better	New for 19/20	10%	10%	+14% <sup>9</sup> (G)	New for 19/20	New for 19/20	No benchmark available
Reduction in phone volumes <sup>10</sup>	Smaller is Better	New for 19/20	30%	7.5%	-9% <sup>11</sup> (G)	New for 19/20	New for 19/20	No benchmark available

<sup>8</sup> Percentage increase in web volumes compared to same time last year.

<sup>9</sup> Rolling 12 months to June 2019.

<sup>10</sup> Percentage reduction in phone volumes compared to same time last year.

<sup>11</sup> Rolling 12 months to June 2019



Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Cost of Customer Service provision (via benefits tracker)	Bigger is Better	New for 19/20	Reduce baseline by £400k (c.20%)	Monitor	£163k	New for 19/20	New for 19/20	No benchmark available

### 5.3 Risks

5.3.1 There are three risks to delivery of the actions for this priority. These have been assessed at a medium/low (4 to 6) and medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **G&C021 - Unexpected Customer Service demand (risk score 9).** Unexpected increases in demand could lead to a budget pressure. A deep dive of services under the CSG contract, including Members Enquiries and complaints was undertaken in May 2019. The results from the deep dive will be used inform proactive interventions.
- **G&C023 - Website User Experience (risk score 6).** This risk relates to the potential failure of the website (for technical or accessibility reasons) to support the channel shift ambitions. Customer service data is regularly reviewed to feed into improvements to the website.
- **G&C019 - MTFs Customer Service Savings 19/20 (risk score 9).** The £400k savings may not be delivered in 19/20 due to a lack of demand reduction and/or channel shift to online improvements. Demand reduction initiatives are in place for high volume services; the Customer Transformation programme is delivering a range of online improvements; and safeguards are in place to protect service areas that are used by the most vulnerable residents and those that cannot get online.

6. Continuing to work effectively with strategic partners	Q1 Overall Performance
	Good

#### 6.1 Summary of Actions Good progress

- 6.1.1 The CMT Partnership Board continued to meet in this quarter, with a well-attended session looking at mental health support across the borough. This was chaired by the CCG.
- 6.1.2 The Communities Together Network (CTN), comprising partners from the voluntary community and faith sectors met at the new Unitas Youth Centre in Burnt Oak. This meeting included a discussion about emergency planning.
- 6.1.3 The council's community cohesion campaign 'Together We Are Barnet' was launched in June 2019. This has been supported by the Partnership Board and highlights positive cohesion and diversity in the borough, as well as the work community groups are doing to foster good relations among residents.

#### 6.2 KPIs

- 6.2.1 There is one KPI for this priority, which monitors attendance at strategic partnership meetings. This has been estimated at 70% for Q1. The Partnership Board was attended by representatives of all the member organisations (so 100%), while CTN was less well

attended. The potential attendance at CTN is difficult to calculate, as the meetings are open to anyone in the VCS sector.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Overall attendance at strategic partnership meetings	Bigger is Better	New for 19/20	80%	80%	70% <sup>12</sup>	New for 19/20	New for 19/20	No benchmark available

### 6.3 Risks

6.3.1 There is one risk to delivery of the actions for this priority. This has been assessed at a medium/high (8 to 12) level and has controls/mitigations in place to manage the risks.

- **G&C023 - Ineffective partnership approach (risk score 9).** If Strategic Partners do not engage with the Council this could lead to an ineffective working partnership with the council and may impact on the delivery of joint aims and priorities. This risk is being managed by maintaining good relations with partner organisations through various communications channels. Meetings offer engaging content and there are ample opportunities for partners to get involved and have their voices heard.

7. Planning strategically to enable Barnet to grow and meet the needs of residents	Q1 Overall Performance Limited
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### 7.1 Summary of Actions Limited progress

7.1.1 The Local Plan has been delayed in light of the Secretary of State's statement about published housing targets in February 2019. The increased target of 4,126 homes per annum is far higher than the figure in the published Draft London Plan. The discrepancy between these targets must be correctly addressed in the council's Draft Local Plan.

7.1.2 Barnet is seeking further discussion with the Government and preparing its case regarding the extent to which the borough could deliver against the new target. A revised timeline for publication of the Draft Local Plan will be required, but a date cannot be fixed until the report of the Planning Inspector on the Draft London Plan is issued. The Draft Local Plan is scheduled to go to Committee in December 2019.

7.1.2 The draft Burroughs and Middlesex University Strategic Planning Document (SPD) is on the agenda for P&R Committee in October 2019. The draft Edgware SPD is expected to be discussed by P&R Committee in February 2020.

### 7.2 KPIs

7.2.1 There is one KPI for this priority, which monitors delivery of planning policy documents such as the Local Plan and Supplementary Planning Documents. Generally, there will be two to three outputs per annum, except with the Local Plan stages.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	

<sup>12</sup> The result is an estimate based on attendance at the Partnership Board and CTN meetings.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Deliver Planning Policy Documents	Bigger is Better	New for 19/20	100%	100%	N/A <sup>13</sup>	New for 19/20	New for 19/20	No benchmark available

### 7.3 Risks

7.3.1 There are three risks to delivery of the actions for this priority. These have been assessed at a medium/low (4 to 6) and medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- G&C024 – Delay of Local Plan (risk score 8).** Significant objections or lack of support for draft policies or proposed site allocations could delay the Local Plan timetable resulting in delayed adoption of new policies to guide development and scrutiny by the MHCLG. During Q1, the Local Plan was delayed from April 2019 until December 2019, which could impact on the ability for the plan to provide timely policy for planning applications. The risk is being managed through documentation of appropriate evidence and several stages of public consultation and Member engagement.
- G&C025 - Delays to policy documents (risk score 4).** Unnecessary delay to the consideration of proposed projects and policy documents may result in missed opportunities to influence planning implications or delays to decision about sites/projects. To manage this risk a minimum number of Committee meetings are scheduled over the year and supplementary meetings can be convened if required.
- G&C026 - Local plan housing target (risk score 12).** Changes to national or regional policy or targets could limit the council's ability to secure policy alignment or deliver progress with policy in a timely manner resulting in the Local Plan not being compliant. This risk is being monitored by sub-regional groups such as the West London Alliance, London Councils and the Association of London Borough Planning Officers. The Local Plan has been delayed until autumn 2019, adding a further six months for consultation and adoption.

8. Being resilient as a local authority	Q1 Overall Performance
	Good

#### 8.1 Summary of Actions Good progress

8.1.1 The council is now fully compliant with the Resilience Standards for London with a self-assessment undertaken and the first Annual Report due at the end of year. The council recently participated in the 2019 Safer City exercise and a Lessons Learned review was completed, which will feed into planning for 2020.

8.1.2 Reviews of Business Continuity plans and contact details were undertaken and training provided to staff.

#### 8.2 KPIs

8.2.1 There are no KPIs for this priority.

<sup>13</sup> N/A as no Planning Policy documents had to be processed in Q1.

### 8.3 Risks

8.3.1 There are three risks to delivery of the actions for this priority. These have been assessed at a medium/high (8 to 12) level and have controls/mitigations in place to manage the risks.

- **AG022 - Inability to effectively respond to Major Emergency Incident (risk score 8).** Failure to implement the EP2020 recommendations and non-compliance to the Resilience Standards for London could lead to the inability to effectively respond to a major emergency. a review of Emergency Planning arrangements was undertaken in Q1, which looked at EP2020 and residence standards. Plans have been tested and interim support arrangements are in place.
- **AG023 - Inadequate Business Continuity incident response (risk score 12).** Inadequate planning, non-compliance and a lack of trained staff could lead to the council being unable to respond adequately to an incident. There is a new Corporate Business Continuity Strategy and Plan and a review of Business Continuity arrangements was undertaken in Q1, which looked at strategy, exercises, training and resources.
- **AG042 - Partner Agencies attention (risk score 8).** A major or continuing incident could demand the attention of partner agencies away from the Borough Resilience Forum. This risk is being managed through effective engagement of partners and administration support for meetings.

8.3.2 In addition to the risks in the Annual Delivery Plan, there was a *service risk* for this priority that was scored at a high (15 to 25) level in Q1.

- **AG020 - Audit actions not implemented (risk score 16).** If audit actions are not implemented this could lead to a deterioration in the council's control environment and result in the Head of Internal Audit providing a Limited Assurance Annual Opinion. Performance at the end of Q1 was 73% of high priority actions were completed by the deadline. This was below the target of 90% and it is a deterioration on the performance in Q4, when 82% of actions were confirmed as implemented. The risk score remains unchanged until there is a guarantee that the implementation of audit actions is sustainable and consistent.

9. Ensuring residents are treated equally, with understanding and respect, and all have access to quality services	Q1
	Overall Performance Satisfactory

### 9.1 Summary of Actions Satisfactory progress

9.1.1 The 'Together we are Barnet' community cohesion campaign was launched with strategic partners in June 2019. This promoted the diversity of Barnet's communities in advertisements and an event at Brent Cross.

9.1.2 Work was undertaken with the faith sector to foster community cohesion and tackle extremism and hate crime. This included setting up a Muslim forum that brings together representatives from across the Islamic communities in the borough. Further work is planned for the rest of the year including the community-led development of a definition of Islamophobia for Barnet.

9.1.3 In May 2019, the council published its Annual Equalities Report and the Strategy team has begun to review the tools and process by which the council meets its Public Sector Equality Duty (PSED). A new Equalities Policy for the council is in development.

9.1.4 Changes to staffing in HR have meant that improvements to the collection of demographic data about Barnet's workforce have not been achieved. However, a staff survey is being planned. The Strategy team is also working with colleagues in Public Health to investigate other means of collecting this data.

## 9.2 KPIs

9.2.1 There are three KPIs for this priority, which monitor the equality objectives. One KPI met the Q1 target, one KPI was not reported in Q1 and one KPI is reported annually.

Indicator	Polarity	18/19 EOY	19/20 Target	Q1 19/20			Q1 18/19	Benchmarking
				Target	Result	DOT	Result	
Staff providing social identify information	Bigger is Better	New for 19/20	TBC <sup>14</sup>	TBC	Due Q2 19/20 <sup>15</sup>	New for 19/20	New for 19/20	No benchmark available
Cumulative Equality Impact Assessments carried out for relevant policies and programmes (Annual)	Bigger is Better	New for 19/20	100%	100%	Due Q4 19/20	New for 19/20	New for 19/20	No benchmark available
Community Together Network (CTN) Bulletin circulated to voluntary and faith communities	Bigger is Better	New for 19/20	24	6	6 (G)	New for 19/20	New for 19/20	No benchmark available

## 9.3 Risks

9.3.1 There is one risk to delivery of the actions for this priority. This has been assessed at a medium/high (8 to 12) level and has controls/mitigations in place to manage the risks.

- G&C036 - Compliance with Equality Duty (risk score 12).** This risk is being managed through mandatory learning and development on the Public Sector Equality Duty. Guidance material and advice is available for staff requiring support, including on Equality Impact Assessments (EIAs). Work has continued to ensure that all staff are aware of their responsibilities to pay due regard to equalities and to carry out EIAs on all relevant policy decisions. A review of the training programme for Equality Champions has been undertaken and new training is being implemented in August 2019. The 2018/19 Annual Equalities report was presented to P&R Committee in June 2019. This demonstrated how the council complied with the Public Sector Equality Duty in the Equality Act 2010 and the approach taken to implementing the Equalities Policy and Strategic Equalities Objective in the Corporate Plan (Barnet 2024).

<sup>14</sup> This will be confirmed by end September 2019.

<sup>15</sup> The KPI was not reported in Q1, as additional time was needed to define the methodology.

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## Policy and Resources Committee

### 3 October 2019

<b>Title</b>	<b>Opendoor Homes updated business plan</b>
<b>Report of</b>	Chairman of the Policy and Resources Committee
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	Yes
<b>Enclosures</b>	Appendix A – ODH loan repayment schedule Appendix B - Tranche 3 and microsites delivery progress report
<b>Officer Contact Details</b>	<p>Paul Shipway, Head of Housing Strategy Tel: 020 8359 4924 <a href="mailto:paul.shipway@barnet.gov.uk">paul.shipway@barnet.gov.uk</a></p> <p>Derek Rust, Group Growth and Development Director, (Deputy Chief Executive Officer) Tel: 020 8359 4826 <a href="mailto:derek.rust@barnethomes.org">derek.rust@barnethomes.org</a></p> <p>Mike Gerrard, Group Resources Director Tel: 020 8359 7428 <a href="mailto:mike.gerrard@barnethomes.org">mike.gerrard@barnethomes.org</a></p>

## Summary

This report updates the committee on the progress made in delivering the Opendoor Homes affordable housing programme of 340 new homes across 27 sites within the borough. It also seeks the Council's approval, as required under the Facility Agreement dated 24 May 2017, for a change to the Opendoor Homes business plan that supports the delivery of this programme.

## Officer Recommendations

1. That Committee note the progress made by Opendoor Homes in delivering 340 new homes for affordable rent across 27 infill housing sites in Barnet covering both tranche 3 and the microsites programme.
2. That Committee approve a change to the Opendoor Homes business plan to deliver the tranche 3 programme, the Council's approval being required under the Facility Agreement dated 24 May 2017 made between TBG Open Door Limited and the Council.

### 1. WHY THIS REPORT IS NEEDED

- 1.1 The Assets, Regeneration and Growth Committee (ARG) approved at its meeting on 9 July 2014, the approach to, and the principles underpinning, the creation of a development pipeline on council owned land.
- 1.2 The Council's Housing Strategy of 2015-2025 set out how the development pipeline would include the building of new homes on existing council land held in the Housing Revenue Account (HRA) to be delivered by the Council's Arm's Length Management Organisation (ALMO), Barnet Homes. Additionally, the Council's Management Agreement with Barnet Homes included a target for Barnet Homes to build 500 new homes by 2022, including 320 homes from a number of locations identified across mainly HRA sites. In the main these were relatively small infill sites such as unused garages and poor-quality amenity space.
- 1.3 At this point Barnet Homes had already built 43 new council homes on behalf of the Council across 7 sites. These represented the first new council house building in Barnet for around 30 years and followed government changes in the way in which council housing was funded.
- 1.4 To build on this initial achievement involved committing to the delivery of a much larger programme of 320 new homes representing a significant escalation in the development aspirations for the Council. It also gave the opportunity for Barnet Homes to create a more sustainable new build team to support this delivery. It should be noted that direct delivery of new build programmes remained a relatively new experience and that a larger programme across 21 different sites was going to represent a bigger challenge for all concerned.
- 1.5 **Tranche 3 – 320 new homes for affordable rent**  
Barnet Homes set up TBG Open Door Limited (Opendoor Homes) as a subsidiary organisation within The Barnet Group, which is in turn a wholly owned subsidiary of Barnet Council. This was registered with the Social Housing Regulator in March 2017 with a view to develop and own the 320 new homes (also known as tranche 3) with the sites being transferred at nil value.



- 1.6 The use of Opendoor Homes to deliver the homes enabled the Council to both make positive use of its Right to Buy receipts as well as to access further financial benefits as per 1.8 below. It also maintained the developments within the wider Council family of organisations. A skilled board was established to manage Opendoor Homes leaning heavily on registered provider and development finance experience. The rents to be charged were in line with the Council's rents policy being 65% of market rent, or at Local Housing Allowance level.
- 1.7 A loan facility of up to a maximum sum of £65m at a commercial rate was approved for Opendoor Homes by Policy and Resources Committee on 16 February 2016 and was ratified by full Council on 1 March 2016. This figure was supplemented by a maximum 30% contribution from LBB Right to Buy receipts.
- 1.8 On the 12 December 2016 the Assets, Regeneration and Growth Committee, approved the full business case to dispose of the sites in tranche 3 and the funding of the construction of the homes in line with the agreed loan agreement, including the use of Right to Buy receipts. The benefits that the Council expected to receive as a result of the development of the 320 homes through Opendoor can be summarised as follows:
- i. Temporary Accommodation cost avoidance @ £3,400 per home, per annum
  - ii. Payment to the Council of a £2,000 per home, per annum "homeless dividend"
  - iii. A loan arrangement fee of 1%
  - iv. An on-lending benefit of 1.24% to the Council for the lifetime of the loan
  - v. Increase in Council Tax receipts from each new home
  - vi. Cost avoidance benefits specific to the 10% wheelchair accessible homes delivered in the programme of £11.4k per accessible home, per annum

The homeless dividend alone would make a contribution to council finances of £640,000 per annum once the programme has been fully built out. The total package of benefits from the programme was estimated at circa £2.7m p.a. over the first 25 years.

1.9 **Microsites programme**

The business plan supporting the 320 homes had relatively tight cost constraints in order to deliver the expected benefits. As a result it became apparent in the early days of the programme that some smaller sites were not going to be financially viable although they still had the potential to provide valuable additional new homes, especially as they had received planning permissions. A new approach was taken to develop out these "microsites", using additional subsidy in the form of commuted sums and where available GLA grant. As a result, a lower residual loan was required by Opendoor Homes for these specific homes. An increased "homeless dividend" payable to the Council was included varying from between £4,000 and £2,800 per home, per

annum. There was also an increased number of wheelchair accessible homes in the first phase.

1.10 [ Policy and Resources Committee on 11th December 2018, approved for two phases of microsite homes covering 20 new homes across 6 sites with an additional loan facility of up to £1.7m to support the costs not met by the additional subsidy.]

1.11 **Changes to the original Tranche 3 business plan**

Over the past three years since the approval of the original business case there have been a number of changes to the Opendoor Homes business plan, as managed by the Opendoor Homes board. In line with the requirements of the loan agreement these have been reported regularly to the Council who as the funder is required to approve the variances, subject to them being within the original Committee agreed parameters. There was an approval via a DPR on the 27 June 2018 which extended the funding, primarily in response to a reduced rent assumption. Council approval of a further update to the business plan is now requested comprising a change to the loan repayment schedule as shown at Appendix A to this report. The Council should note that clause 14 of the loan agreement dated 24 May 2017 with Opendoor requires that such consent is “not to be unreasonably withheld or delayed”.

1.12 The main the changes can be summarised as being as follows:

- i. **Increases in build costs** – these have arisen as a result of both tender returns being higher than expected and build cost inflation over the time period. In many instances the sites had higher than normal abnormal costs, a feature of infill sites and why they may have not been built out in the first place. Examples of abnormal costs could include soil contamination, avoidance of underground cables and sewer diversions.

For the smaller sites contractor appetite to build out the homes has been more restricted and Opendoor Homes has sought to engage more appropriately sized SME constructors to deliver these homes. Throughout the programme a range of approaches towards procurement tailored to the specific site types has included the use of frameworks, single stage and double stage tendering in order to offer best value for money.

Additionally, Opendoor Homes has sought to substitute sites if a more economic site opportunity presented itself and these have been reported to committee to approve.

- ii. **Delays in programme delivery** – this results in rental income being received later to the business plan than planned, greater exposure to build cost inflation and the impact of compound interest on any loan already drawn down to date.

There have been a range of reasons for delays in programme delivery and inevitably part of this will relate to the complexity of delivering a large number of infill sites that vary from 2 houses through to a 12 storey, 50

home tower block. It also reflects the relative experience of all parties in delivering such a varied and complex programme.

Some of the land transfers have been more complex than expected as a result of issues such as neighbour encroachment, unregistered land or existing identified rights, or wayleaves. This has meant more work was required than expected to ensure that clean title has been provided to Opendoor Homes by the Council before transfers can take place.

- iii. **Changes in business plan assumptions** - the Opendoor Homes business plan is subject to a range of external factors including fluctuations in interest rates, future market rent valuations that underpin the rents to be charged and changes in long term government rent, or housing benefit policy.

Changes in future rent assumptions in particular can make a significant difference to the model having the effect of creating a later payback of the loan if payment of the homeless dividend is to be maintained.

Opendoor Homes retains external specialists to advise the board on what are reasonable future assumptions to maintain within the business plan to ensure a level of prudent forecasting. Additionally, as a regulated body the board is required to undertake stress testing on a variety of possible scenarios and then identifying mitigating actions to respond.

As loan is drawn down, the interest rate is fixed through to repayment. In the drawdowns to date, the actual interest rate (including the loan margin payable to the Council) has been slightly below the budgeted rate of 4-4.5%.

### 1.13 **The Opendoor Homes revised business plan**

The Opendoor Homes business plan has evolved in response to the changes outlined in section 1.12, above. The table below summarises the main changes over the past two and a half years covering the original business plan May 2017, the last LBB approved business plan and the current proposed business plan at September 2019 for which approval is being sought.

<b>Business plan version</b>	<b>1 - May 2017 Legal agreements</b>	<b>2 – May 2018 approved by LBB</b>	<b>3 – September 2019</b>
Total scheme cost	£72.2m	£79.7m	£81.5m
- includes contingency	Nil	£1.6m	£0.8m
Grants received	£19.02m	£23.9m	£23.7m
New secured loans	£59.8m	£65m	£64.9m
- repayment year	2050	2061	2056
Rental income	CPI+1% throughout	12% rent reduction (extends loan repayment 7 years)	3% rent increase
Build timings	17/18 - £33m 18/19 - £29m 19/20 - £8.5m 20/21 - £1.3m Straight line costs	17/18 - £10m 18/19 - £43m 19/20 - £24m 20/21 - £3m	17/18 - £8m 18/19 - £19m 19/20 - £32m 20/21 - £18m 21/22 - £4m S curve on 5 major schemes

- 1.14 The grants received line reflects Right to Buy receipt contributions made by the Council. Rental income reflects variations in assumptions on future rents payable. Build timings reflects expected spend profiles for the programme and therefore shows effectively slippage. Applying a more accurate assessment of build costs via an S curve whereby contractor payments are concentrated into the third quarter of the project period has helped offset the impacts of build cost increases. As a result, the loan will now be paid 5 years sooner than with the previously approved business plan. It should also be noted that the Opendoor Homes board has in principle agreed to adopting charitable status. If successful this will provide additional tax benefits to the programme which will reduce the repayment year by in the region of a further two years. The current loan repayment schedule is attached as appendix A.
- 1.15 From the Council's point perspective the revisions to the business plan will ensure that the original financial benefits of the full business case are delivered. There are no additional costs for the Council to bear arising from these changes. The extension of the repayment period from the May 17 original business case to the current iteration of the plan will result in additional income through prolonged on lending interest mark ups in the latter years.
- 1.16 **Programme delivery**

Overall, progress on delivering the programme is now positive. Of the original 320 homes we have completed 52 homes across 7 of the 21 sites. All bar one

site has a planning consent, and is approved by the Opendoor Homes Board. 86% of the programme is either completed, on site, or undergoing final detailed design pending start on site. The one remaining site is currently being finalised for a planning application having undergone some redesign work in consultation with planning colleagues and taking account of resident feedback. By the Summer of 2020 it is expected that around half of the programme will have completed with the remainder due to complete by 2021/22.

- 1.17 Feedback from new residents and all other stakeholders has been that the quality of the homes built is very good with a very low number of defects reported. See also 1.20 below.
- 1.18 In relation to the microsite programmes all 10 homes from microsites phase 1 are expected to complete this financial year. For microsites phase 2 the schemes will all start on site this financial year and will complete during the financial year 2021/22.

Appendix B provides a more complete overview of the programme delivery to date on a site by site basis.

**1.19 Delivery against the business case benefits**

In the main the programme is on track to deliver the expected benefits to the Council. On completed homes payment of the homeless dividend has commenced with £27k being paid on 2018/19. This is expected to rise to £104k this year and by the end of the programme this will be £710,000 per annum. Increases in Council Tax revenues and cost avoidance benefits are being met although with delays to the programme these are not in line with the original timeline.

- 1.20 The main area of change has been in respect of the on-lending benefit as the delayed funding repayment serves to increase the amount payable to the Council over the loan period from circa £16m to £22m.
- 1.21 **What have we learnt?**

In April 2019 the Council and Barnet Homes jointly worked on an independent review of new build developments delivered to date. This also covered homes built directly for the Council, as well as those through Opendoor Homes. The review was undertaken by Claire Bennie of Municipal, a respected development professional who is working with a number of other developing London local authorities and consequently was able to give a good insight compared to our peers. The main observations relevant to this programme were as follows:

Issue	Findings
Quality	<p>Overall good quality fittings/materials, light, spacious, well planned and with generous balconies – the homes are well liked by new residents.</p> <p>The TBG development team are quality aware but some greater challenge on quality at the design stage may be beneficial as would an update on the design brief/employer requirements reflecting the learning to date.</p> <p>A wider pool of architects including landscape architects being</p>

	used may be beneficial in developing designs. Acknowledged positive work undertaken with existing residents and stakeholders to engage with new schemes
Costs	Generally lower than comparable local authorities building similar types of sites. A higher build cost, contingency and on-cost allowance should be assumed for future schemes. Acknowledged that different procurement strategies had been used according to the nature of the site to reduce costs
Programme	Project plans had been over ambitious for the complexity of programme delivered and need to be more realistic for the future

- 1.22 Overall, this represents a fair summary of the learning to date from delivering the programme. It is also acknowledged that Barnet Homes/Opendoor Homes have been able to now develop a stronger pedigree in delivering new homes across challenging sites whilst also growing the size of the team. This will place the team in a strong position to deliver an enhanced council led new build developments in the future either directly, or via Opendoor Homes.

## **2 REASONS FOR RECOMMENDATIONS**

- 2.1 In line with the Council's current draft Housing and Growth strategies this programme contributes to the delivery of more affordable homes that residents can afford. In particular, it responds to the continued pressures of homelessness within Barnet whilst making an important ongoing financial contribution to the Medium Term Financial Strategy.

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

- 3.1 None in the context of this report.

## **4 POST DECISION IMPLEMENTATION**

- 4.1 The revised business plan will be formally adopted in line with the original loan agreement requirements enabling Opendoor Homes to deliver the existing programme covering 320 new homes in tranche 3 through to completion, supplemented by the 20 homes within the microsites programme. Lettings of the new homes will be made to the Council's housing applicants in line with its published allocations policy.

## **5 IMPLICATIONS OF DECISION**

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

- 5.1.1 The Corporate Plan 2019-2024 sets out the aim to ensure Barnet is a pleasant, well maintained borough that is protected and invested in by ensuring decent quality housing that buyers and renters can afford, prioritising Barnet residents that will be delivered by increasing supply to ensure greater housing choice for

residents and delivering new affordable housing, including new homes, on Council-owned land.

5.1.2 The Council's Housing Strategy, agreed in 2019 has the overarching objective of providing housing choices that meet the needs and aspirations of Barnet residents and sets out how the Council will deal with a number of challenges including high prices, a shortage of affordable housing and the potential threats to the qualities that make the Borough attractive.

5.1.3 The draft London Plan recognise the need for more homes in the capital. Managing housing growth and the provision of new homes is the first objective set out in Barnet's Core Strategy. The London Plan and Core Strategy set challenging targets for the delivery of new housing, with the former having increased the minimum annual target for Barnet to 3,134 homes per annum.

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

5.2.1 The Housing Committee is responsible for the Housing Strategy and Homelessness Strategy. The Committee savings includes the provision of new affordable homes as a means of reducing costs associated with temporary accommodation. To enable current and future savings to be delivered, suitable sites must be identified. The Policy and Resources Committee is responsible for the Local Plan and therefore the Council's overall housing target.

5.2.2 The loan will be paid to Opendoor Homes in stages in accordance with the loan agreement. For each scheme a value for money statement is prepared by an independent cost consultant that includes benchmarked costs before a contract is let. Opendoor Homes has an agreed scheme of delegation for approval and a set of development hurdles for schemes retaining board approval for higher value schemes or where specific hurdles are not met.

5.2.3 The revised Business Plan indicates that the loan advanced will increase by £5.1m to £64.9m and the repayment will commence six years later than what was agreed in May 2017 and cease five years later. A consequence to the council of the loan repayment being delayed, is that the council are unable to use the capital receipt that would have been received to repay debt or finance other capital projects thereby reducing further borrowing. However, the interest received from on-lending will increase by £5.5m.

5.2.4 Procurement of the design and build contractors has followed OJEU compliant process in line with The Barnet Group's procurement Strategy and the agreed Opendoor Homes procurement strategy for the programme.

5.2.5 Monthly programme review meetings are held with Council representatives to bring oversight of the programme and the business plan to the Council in its role as funder.

### 5.3 Social Value

5.3.1 The programme has delivered local labour employment opportunities. There are also examples of contractors providing additional benefits back into the communities where they are working. Most recently Bugler delivered free of charge a large container to Basing Park to support a local charity, The Hope of Childs Hill, who needed a secure cycle store for a healthy lifestyles initiative they were delivering in the area.

### 5.4 Legal and Constitutional References

5.4.1 The Council's Constitution at Article 7 "Committees Forums Working Groups and Partnerships" provides that Policy & Resources Committee is responsible for Finance, and for any matter not specifically allocated to another committee.

5.4.2 The Council's Constitution at Article 7 "Committees Forums Working Groups and Partnerships" provides that the Financial Performance and Contracts Committee is responsible for oversight and scrutiny of the Council's major strategic contracts including contract variations.

5.4.3 The Council and Opendoor Homes entered into a facility agreement dated 24 May 2017 governing a loan by the Council to Opendoor Homes to be used for provision of housing on Tranche 3 sites. A business plan including a repayment schedule is appended to the facility agreement; this is a plan related to the delivery of housing rather than a business plan for Opendoor Homes or the Barnet Group. The Council's approval is required to alterations to such business plan and such approval is not to be unreasonably withheld or delayed.

5.4.4 State Aid Rules are not applicable given that the loan is to be used for the provision of affordable housing.

### 5.5 Risk Management

5.5.1 The programme has maintained a robust approach to risk management throughout including risk registers reviewed by the Opendoor Homes board at each of its meetings as required by the regulator. These are also discussed with LBB colleagues at the monthly review meeting and cover the following.

- **Finance** – that the costs of developing the sites are too high: building price escalation that cannot be contained within the business plan taking account of the contingency sums available

Mitigation – a number of financial scenarios have been modelled to show that the Opendoor Homes business plan can contain cost increases. The loan agreement allowed for further contingency borrowing.

- **Loan repayment** – that the loan becomes unaffordable to Opendoor Homes and default of payment arises



Mitigation – the business plan allows for sufficient deductions to be made from rental income, including a realistic assessment of voids, management and maintenance allowances, major repairs sinking fund and service charge costs. All properties are securitised to the Council in the case of default.

- **Programme delay** – incurring increased loan interest costs without rental income

The project team monitor the progress of works on site, anticipating problems and managing solutions. Sanctions (LADs) are in place to ensure that works are kept to programme

- **Future Government policy** regarding affordable housing rents or other significant changes of legislation

Mitigation – the business plan allows for a certain amount of rent control but a prolonged rent freeze would require the business plan to be remodelled and repayment terms renegotiated.

- **Contractor failure** – contractors become insolvent or are affected by wider economic uncertainty

Mitigation - The financial status of contractors is scrutinised and a contingency put in place to cover the additional costs of contractors going into liquidation.

## 5.6 Equalities and Diversity

5.6.1 Allocation of properties acquired will be made in accordance with the Council's Housing Allocations Policy. Analysis of data has shown that women and members of Barnet's black and minority ethnic communities are over represented among those living in temporary accommodation. Over 70% of households in temporary accommodation are from non-white households, compared to around 40% of the Borough's population as a whole. Of those in temporary accommodation the main applicant is female in 65% of households.

5.6.2 It is not expected that these groups will be adversely affected by implementing the policies set out in this report. However, the impact will be monitored to ensure that these groups are not adversely affected.

All units of accommodation that are procured will meet minimum standards and in placing households into accommodation out of the borough the Council will consider the needs of protected groups.

5.6.3 Ten per cent of the homes to be built will be suitable for wheelchair users. All houses and ground floor flats will be built to Lifetime Homes standards. The new affordable housing units delivered by Opendoor Homes will be let in accordance with the Council's Allocations scheme, which has been subject to a full equalities impact assessment which included extensive consultation with

residents, housing applicants and other stakeholders, including local Housing Associations and third sector organisations.

5.6.4 The proposals in this report do not raise any negative impacts for equalities and demonstrate that the Council has paid due regard to equalities as required by the legislation. The proposals anticipate a positive impact for residents because they:

- Underline the Council's aim that all residents from our diverse communities – the young, old, disabled people and those on low incomes – benefit from the opportunities of growth.
- Contribute to Barnet's commitment to fairness - to be mindful of the concept of fairness and in particular, of disadvantaged communities - which was adopted at Policy and Resources Committee in June 2014.
- Form part of Barnet's Housing Strategy 2019-2024 which includes the objective to deliver homes that people can afford.
- Provide homes for people who are homeless and may be currently disadvantaged.

## **5.7 Corporate parenting**

5.7.1 Increasing the supply of affordable housing creates the opportunity to house care leavers without the need to use temporary accommodation and is therefore a corporate parenting issue.

## **5.8 Consultation and Engagement**

5.8.1 A Stakeholder Engagement Plan has been prepared and has been delivered as part of the programme. This has sought to ensure that all stakeholders, including ward councillors are fully aware of the development activity in their area.

5.8.2 Public consultations have taken place before a planning application for each site. This has been a useful learning experience and the views of those consultees have been taken into account where feasible. In most cases we have exceeded the standard requirements of planning with public consultations having a number of events as our designs have evolved following resident feedback.

## **5.9 Insight**

5.9.1 The Council's Housing Strategy, which identifies the need for new affordable homes, is supported by a comprehensive evidence base, including a Housing Needs Assessment and a study of affordability carried out by the Council's insight team.

# **6 BACKGROUND PAPERS**

6.1 Assets Regeneration and Growth Committee, 15 December 2014, Local Authority New Housing Programme (Barnet Homes)

<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=696&MId=7886&Ver=4>

- 6.2 Council, 20 October 2015, Report of Policy and Resources Committee – The Barnet Group – Creation of new legal entity and subsidiary  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=8340&Ver=4>
- 6.3 Council, 20 October 2015, Report of Housing Committee – Housing Strategy and Commissioning Plan  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&MId=8340&Ver=4>
- 6.4 Assets Regeneration and Growth Committee, 30 November 2015, Housing Development Pipeline- Barnet Homes  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=696&MId=8311&Ver=4>
- 6.5 Policy and Resources Committee, 16 February 2016, Loan to Barnet Homes' Registered Provider (Opendoor Homes) for the development of new affordable homes  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=8351&Ver=4>
- 6.6 Assets, Regeneration and Growth Committee, 17 March 2016, Development of new affordable homes by Barnet Homes Registered Provider (“Opendoor Homes”)  
<http://barnet.moderngov.co.uk/documents/s30501/Development%20of%20new%20affordable%20homes%20by%20Barnet%20Homes%20Registered%20Provider.pdf>
- 6.7 Delegated Powers Report, 2 June 2016 Commissioning Director of Growth and Regeneration approved the substitution of some sites within the programme in order to ensure outcome targets can be met.
- 6.8 Delegated Powers Report, 27 June 2018 Resources Director approved the extension of the loan facility to £65m with a revised repayment date and repayment profile.
- 6.9 Assets, Regeneration and Growth Committee, 11 July 2016, Development of new affordable homes by Barnet Homes Registered Provider (“Opendoor Homes”)  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=696&MId=8881&Ver=4>
- 6.10 Assets, Regeneration and Growth Committee, 12 December 2016, Development Pipeline – Tranche 3 approval of the full business case to dispose of the sites and the funding of the construction of the homes in line with the agreed loan agreement, including the use of Right to Buy receipts

<https://barnet.moderngov.co.uk/documents/g8640/Public%20reports%20pack%2012th-Dec-2016%2019.00%20Assets%20Regeneration%20and%20Growth%20Committee.pdf?T=10>

- 6.11 Assets, Regeneration and Growth Committee, 27 November 2017, Microsite programme phase 1- approval of the business justification case to deliver an additional 10 homes  
<http://barnet.moderngov.co.uk/documents/s43535/Microsites%20Programme%20and%20Microsites%20Phase%201.pdf>
- 6.12 Policy and Resources Committee, 5 December 2017 – approved the budget for microsites phase 1  
<http://barnet.moderngov.co.uk/documents/s43796/Business%20Planning%20-%20Medium%20Term%20Financial%20Strategy%20201820%20and%20draft%20budget%20for%20201819.pdf>
- 6.13 Assets, Regeneration and Growth Committee, 17 September 2018, Microsite programme phase 2 – approval of the business justification case to deliver up to 17 additional new homes  
<http://barnet.moderngov.co.uk/documents/s48486/Microsites%20Programme%20Phase%202%20project%20Business%20Justification%20Case.pdf>
- 6.14 Policy and Resources Committee, 11 December 2018 – approved the budget including additional loan funding in favour of Opendoor Homes  
<http://barnet.moderngov.co.uk/documents/s50144/Appendix%20E%20Capital%20Programme%20Changes.pdf>
-

## Appendix A - Opendoor Homes Loan Repayment Schedule

May 2017 Approved Business Plan

(as subsequently varied)

Year	Principal Repayment	Loan Balance
2017		--
2018		26,215
2019		47,979
2020		56,777
2021		59,794
2022	(41)	59,753
2023	(270)	59,483
2024	(395)	59,088
2025	(505)	58,583
2026	(636)	57,947
2027	(776)	57,171
2028	(940)	56,231
2029	(1,089)	55,142
2030	(1,262)	53,881
2031	(1,207)	52,673
2032	(1,404)	51,270
2033	(1,582)	49,687
2034	(1,789)	47,898
2035	(1,768)	46,131
2036	(2,085)	44,046
2037	(2,269)	41,777
2038	(2,478)	39,299
2039	(2,698)	36,601
2040	(2,947)	33,654
2041	(3,279)	30,374
2042	(3,545)	26,829
2043	(3,825)	23,005
2044	(4,138)	18,867
2045	(4,431)	14,436
2046	(1,905)	12,531
2047	(2,098)	10,433
2048	(2,322)	8,112
2049	(2,518)	5,594
2050	(2,746)	2,847
2051	(2,847)	

September 2019 Business Plan for

approval

Year	Principal Repayment	Loan Balance
2017		--
2018		7,139
2019		22,278
2020		44,473
2021		58,525
2022		64,343
2023		64,606
2024		64,791
2025		64,893
2026	(0)	64,892
2027	(110)	64,783
2028	(241)	64,541
2029	(356)	64,185
2030	(493)	63,692
2031	(401)	63,292
2032	(556)	62,736
2033	(693)	62,043
2034	(855)	61,188
2035	(1,029)	60,159
2036	(1,412)	58,748
2037	(1,607)	57,140
2038	(1,834)	55,307
2039	(2,075)	53,232
2040	(2,351)	50,881
2041	(2,709)	48,172
2042	(2,723)	45,449
2043	(2,823)	42,627
2044	(3,091)	39,536
2045	(3,340)	36,196
2046	(763)	35,433
2047	(899)	34,534
2048	(1,064)	33,470
2049	(1,200)	32,270
2050	(1,364)	30,906
2051	(4,771)	26,135
2051	(5,156)	20,979
2053	(5,520)	15,459
2054	(5,923)	9,536
2055	(6,348)	3,188
2056	(3,188)	
2057		

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## Appendix B

### Opendoor Homes New Build Update September 2019

#### Opendoor Homes Tranche 3 programme – 320 Homes across 21 sites (100% affordable rent)

Total approved budget: c£81m

##### Architects

HTA and BPTW

##### Employers Agent

Hunters

##### Constructors

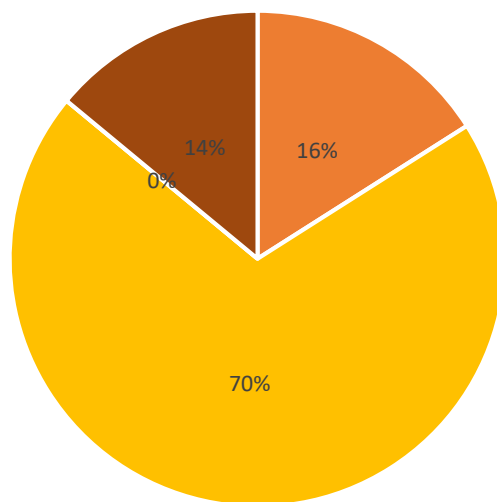
Bugler, Hill Partnerships, Rydon, Lifebuild, Indecon, Cityline, Kind & Co and Borrás

#### Programme overall progress

Planning consents and scheme approvals have now been achieved for 20 of the 21 sites representing 86% of the programme. We had two completions during this quarter with 9 new homes handed over at Salcombe Gardens (Perry Court) and West Close. This means that we have now completed 7 sites out of the 21 in the programme.

Four of our five largest schemes continue to progress well delivering half of the overall programme in their own right. Three of these will complete during 2020 delivering just under 100 homes between them.

#### Opendoor Homes 320 homes programme progress @ Qtr1 19/20



■ New homes completed      ■ New homes approved/on site  
■ New homes awaiting Board approval      ■ New homes awaiting planning consent

By the end of the next quarter we expect that:

- Completion of 4 new homes at West Farm Place
- The final scheme in the programme at Basing Way Open Space will be submitted for planning
- We will seek approval at LBB Policy and Resources October committee meeting for the updated Opendoor Homes business plan



**Completions**

**Gordon Court N2 (Elmshurst Crescent garages)**

**Builder: Bugler - 13 homes**



**Burgundy Court N3 (Basing Way garages)**

**Builder: Bugler – 14 homes**





**Pyrus Court N2 (Hertford Road)**  
**Builder: Bugler - 10 homes**



**Alexandra Road N10**  
**Builder: Indecon – 4 homes**





**Westbrook Crescent EN4**  
**Builder: Cityline – 2 homes**



**Perry Court NW7 (Salcombe Gardens)**  
**Builder: Rydon – 6 homes**





**West Close EN5**  
**Builder: Indecon – 3 homes**



**Due to complete**  
**West Farm Place EN4**  
**Builder: Cityline – 4 homes - Completion due October 2019.**





**The four largest schemes on site – 147 homes (46% of the programme)**

**Burnt Oak Registry Office HA8**

**Builder: Hill Partnerships - 30 homes, completion due May 2020.**



**The Croft HA8**

**Builder: Bugler - 33 homes, completion due May 2020.**





**Prospect Ring N2**

**Builder: Hill Partnerships – 50 homes, due for completion Sept 2021**



**Sheaveshill Court NW9**

**Builder: Bugler – 34 homes, due for completion November 2020.**





**Other approved schemes on site, or in final detailed design phase**

**Norfolk Close N2**

**Builder: Lifebuild – 8 homes, due to complete May 2020**



**Mount Pleasant EN4**

**Builder: Kind & Co – 12 homes, completion date May 2020.**





**Linden and Pine N11**

**Builder: Lifebuild – 6 homes, completion due June 2020.**



**Mount Parade EN4**

**Builder: Borrás – 7 homes**

Detailed design underway, completion due December 2020.





**Brunswick Park Rd N11**

**Builder: Lifebuild – 8 homes**

Detailed design and pre-commencement planning conditions currently being completed to enable demolition to commence, completion due September 2020.



**Summers Lane N12**

**Builder: Lifebuild – 14 homes**

Detailed design currently underway, completion due October 2020.





**Hanshawe Drive HA8**

**Builder: Indecon – 6 homes**, demolition commenced, due for completion December 2020.



**Friern Court N20**

**Builder: Lifebuild – 11 homes**, detailed design commenced, due for completion December 2020.



**Final scheme to be submitted for planning**

**Basing Way OpenSpace**

**Builder: Hills – 46 homes**, currently in pre-application for planning, completion due February 2022.





## “Micro sites” phase 1 – 10 homes

**Builder: Glenman Corp**, due for completion March 2019

Sites: Crispin Rd HA8, Quinta Drive EN5, Rycroft Crescent EN5 and Mayhill Road EN5



## “Micro sites” phase 2 – 10 homes

**Contractors: Cityline and Indecon**, contracts due for signing start on site early 2020.

Sites: Back Lane HA8 and Warwick Close EN4



**Derek Rust (TBG Group Director, Development and Growth)**  
17 September 2019



## Policy and Resources Committee

### 3 October 2019

<b>Title</b>	<b>Brent Cross Cricklewood Report</b>
<b>Report of</b>	Chairman of the Policy and Resources Committee
<b>Wards</b>	Childs Hill, Golders Green and West Hendon
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	Appendix 1 – Standard Questionnaire Appendix 2 – Invitation to Tender Appendix 3 – Evaluation Criteria Appendix 4 – Invitation to submit final tender
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## Summary

This report provides an update on the OJEU procurement evaluation process to select the contractor to design, build and commission the Brent Cross West Station as well as seeking authority to revise the procurement strategy for the Waste Transfer Station, if necessary.

## Officers Recommendations

That the Committee:

- 1) Note the progress update provided to the Assets, Regeneration and Growth Committee (ARG) on 16 September 2019  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?MId=9929&x=1>
- 2) Note progress on the OJEU procurement evaluation process to select the contractor to design, build and commission the Brent Cross West Station.
- 3) Note that council officers are negotiating the required Asset Protection Agreement with Network Rail in respect of the station; and delegate to the Deputy Chief Executive to finalise and authorise entering into that agreement in consultation with the Chair of the Assets, Regeneration and Growth Committee, subject to the station contract being awarded.
- 4) Note progress on Homes England (HE) Home Building Fund Loan Facility and that CBRE are instructed to advise on the future council's land contribution and best consideration in accordance with the Brent Cross South Project Agreement. CBRE are also instructed to undertake a review to inform the required consequential revisions to the legal agreements in light of the HE funding and the Direct Agreement.
- 5) Authorise and delegate to the Chief Executive authority to revise the waste procurement strategy as reported to the Committee on 11 December 2018 in consultation with the Chair of the Assets, Regeneration and Growth Committee, if required.

### 1. WHY THIS REPORT IS NEEDED

- 1.1 The Committee is asked to note the progress update provided to the Assets, Regeneration and Growth Committee (ARG) 16 September 2019.  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?MId=9929&x=1>
- 1.2 This report updates the Committee on Brent Cross South (BXS) and also provides an update on the OJEU compliant procurement process to select the contractor to design, construct and handback the Brent Cross West station. The evaluation process is underway and it is anticipated that a further update will be provided to the Committee ahead of the meeting.

#### **Brent Cross South**

- 1.3 As explained in the report to ARG on 16 September 2019, the council and Argent Related have commenced site assembly and early infrastructure works. Utility disconnections are underway and parts of the site are now hoarded up. The demolition of the Rosa Freedman Centre has commenced.
- 1.4 Homes England (HE) have in principle approved to provide a Home Building Fund Loan Facility to BXS JVLP to fund physical and social infrastructure to accelerate development.



Heads of Terms are agreed and a Loan Facility Agreement (LFA) is being drafted for completion in October 2019 subject to MHCLG and HM Treasury approval.

- 1.5 The council is in direct discussions with HE regarding the Direct Agreement within the parameters approved by the Assets, Regeneration and Growth Committee on 13 June 2019. <http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=696&MId=9928&Ver=4>
- 1.6 This agreement will be completed in parallel with the LFA. The Direct Agreement will provide the framework by which HE and the council can agree to bring about the successful delivery of the project in the event of a substantial default by BXS JVLP of the LFA. HE has requested that the Council separately grants a legal charge over its land assets, or makes an arrangement that provides equivalent security, albeit that the Direct Agreement is intended to take priority over it. Whether the council has the vires to agree depends on the precise nature of the security and where the ultimate responsibility for repayment of the loan rests. This is the subject of ongoing discussions with Argent Related and Homes England, and requires HE to be satisfied as the risk sits principally with them. The Assets, Regeneration and Growth Committee delegated authority to the Chief Executive in consultation with the Chairman of the Committee to finalise the terms and enter into the Direct Agreement on 13 June 2019. All parties are working to having all approvals and legal documentation in place by the end of October. This is likely to include consequential amendments to the Project Agreement and BXS JVLP partnership documents.
- 1.7 As also explained to ARG, it is now appropriate to review and update the BXS Business Plan approved in July 2017 to take account of the revised delivery strategy and consequential changes directly resulting from the deferral by BXN, the BXS and BXT scheme development and revised critical and strategic infrastructure delivery alongside the proposed HE finance and current market conditions. These changes are anticipated to be considered by ARG on 26 November 2019. BXS are also preparing a revised Phase Proposal in line with the emerging Business Plan. The council has instructed its strategic property advisor CBRE to review the BXS financial model and advise on the future council's land contribution and best consideration in accordance with the Project Agreement. CBRE are also instructed to undertake a review to inform the required consequential revisions to the legal agreements in light of the HE funding and the Direct Agreement.

### **Brent Cross Thameslink**

- 1.8 The BXT project has now fully entered the construction and delivery phase. The Train Operating Company (TOC) Compound building has been installed and the team are well underway fitting out and finishing the unit for occupation by Govia Thameslink Railway (GTR) in early October. In relation to the Rail Systems and Sidings Works being delivered by Network rail (NR) under the Implementation Agreement are continuing to progress. The programme remains on target to commission the south sidings in January 2020. This is a key milestone in delivering the new station for May 2022.
- 1.9 The Committee will recall that the Policy and Resources Committee approved the OJEU procurement for the station platforms and station access / pedestrian bridge elements of the Thameslink programme on 11 December 2018 to encourage increased market competition and scope for achieving best value for money. The station is made up of two small pre-fabricated steel buildings (ticket hall and station entrance) covered in cladding which will be joined by a footbridge.

- 1.10 The report to the Committee on 11 December 2018 explained that given that there is time in the programme, it is appropriate and prudent to review the procurement strategy and tender the works to ensure value for money and that all delivery risks are fully assessed. The council's delivery team considered that commencing such a competitive tender process offered the best opportunity to test whether procuring a more experienced contractor, who has proved their desire to deliver the design and build of the station through the tender process, will provide more programme certainty and, by being responsible for both the design and build, will be more able to reduce construction timescales through buildability input and innovation.
- 1.11 In addition to ensuring value for money and greater cost certainty, it was considered that direct engagement with the market to deliver the Station Platforms and Station / Pedestrian Access Bridge should elicit innovative ideas to build the station more quickly with a modular mentality. This was envisaged to be probably the biggest positive factor in direct engagement.
- 1.12 This strategy also allowed Network Rail to focus on the main Sidings and Rail Systems works.
- 1.13 A Prior Information Notice (PIN) was issued to the market on 26 October 2018 and a supplier day held on 13 November 2018 to assess market interest to undertake the works. This event did generate significant market interest, and 38 contractors attended the event..
- 1.14 This Committee subsequently approved, subject to referral to Full Council, that the council commence an OJEU procurement for the station platforms and station access / pedestrian bridge elements of the programme and that the contract award decision will be reported to the Assets, Regeneration and Growth Committee for approval based on the following timetable:
- |   |                |
|---|----------------|
| • Commence OJEU procurement                     | January 2019   |
| • Shortlist confirmed and issue detailed tender | April 2019     |
| • Contract Award                                | August 2019    |
| • Commence detailed design and construction     | September 2019 |
| • Station Commissioning                         | February 2022  |
| • Station into use                              | May 2022       |
- 1.15 Full Council approved the procurement strategy on 18 December 2018.
- 1.16 The OJEU notice accompanied by the Memorandum of Information and Standard Questionnaire (SQ) was then published on 1 February 2019. The SQ is attached at appendix 1.
- 1.17 Responses were received to the SQ on 4 March 2019, from nine suppliers, namely: Amey Rail; Buckingham Group Contracting Ltd; Costain Group plc; Hochtief Construction Ltd; John Graham Construction Ltd; Spencer Group; Vinci Construction (Taylor Woodrow) UK; Volker Fitzpatrick; and Van Elle.

- 1.18 The SQs were then evaluated in accordance with the evaluation criteria published in the OJEU notice: Pass/Fail questions on areas including Comparable delivery experience, HSQE, Regulatory Compliance and Economic & Financial stability. Scored questions on Technical Capability including GRIP 5-8 experience (25%), Design (15%), CDM (6%), Possession planning (8%), Delivery in an operational environment (6%), Third party collaboration (5%), CSM (5%), NEC3 experience (5%), Supply of steel (5%) and HSQE Management (20%). This was scored by a pre-selected and approved evaluation panel. The results were moderated, resulting in three suppliers being taken through to the Invitation to Tender (ITT) Stage.
- 1.19 The bidders selected to the ITT stage comprised Buckingham Group Contracting Ltd; Vinci Construction (Taylor Woodrow) UK; and Volker Fitzpatrick.
- 1.20 The Invitation to Tender attached at appendix 2 comprised a formal three stage OJEU (Competitive Procedure with Negotiation) procurement process as follows:
- Initial submission (issued 4 April 2019)
  - Negotiations (July – August 2019)
  - Final ISFT submission & single supplier selection (August-September 2019)
- 1.21 Initial responses to the ITT were received on the 7 June 2019 from all three suppliers. In accordance with the selected Competitive Procedure with Negotiation procurement route, each supplier submission was reviewed in detail and feedback provided. Suppliers were then invited to a series of negotiation sessions that took place between 4 and 23 July where clarifications and areas for improvement were discussed with each supplier individually.
- 1.22 Final submissions were received from the bidders on 23 August 2019 in accordance with the appendix 4. The evaluation is now underway in accordance with the evaluation criteria published in the ITT and summarised at appendix 3. Individual evaluation is being undertaken for each question followed by moderation sessions for each question to agree final scoring and it is anticipated that a further update will be provided to the Committee ahead of the meeting.

### **Waste Transfer Station**

- 1.23 In relation to the Waste Transfer Station, the former Selco building has been demolished and the site subject to significant remediation. However, the sub structure early works have been delayed due to unforeseen ground conditions uncovered under the building following demolition. A revised programme and cost estimate has now been received from John Graham Construction Limited and is currently being reviewed by the BXT team with workshops scheduled to refine the construction delivery and price in line with the programme requirements. If this cannot be achieved, it may be necessary to consider alternative delivery options and revise the procurement strategy accordingly. Consequently, the committee is asked to delegate to the Chief Executive authority to revise the waste procurement strategy as reported to the Committee on 11 December 2018 in consultation with the Chair of the Assets, Regeneration and Growth Committee if required.



## **2. REASONS FOR RECOMMENDATIONS**

- 2.1 The comprehensive regeneration of Brent Cross Cricklewood is a long-standing objective of the Council and a key regeneration priority of the Mayor of London. The details of the scheme are set out in previous update reports to this Committee.

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

- 3.1 Procurement in compliance with public procurement legislation is necessary where a public body is seeking to procure goods and services above a specified threshold and this process needs to be undertaken in a fair and open manner. As Awarding Authority, the council is required to ensure the selected contractor is the most economically advantageous of those involved in the process and can provide value for money in the delivery of the social, economic and environmental regeneration outcomes and outputs.
- 3.2 The preferred contractor for delivery of Brent Cross West station is being selected by using the Competitive Procedure with Negotiation route, which was advised as the most appropriate approach for the procurement as set out in the report to this Committee on 11 December 2018.
- 3.3 The Committee could have chosen a route which sees Network Rail deliver the station platforms and bridge. However, for the reasons set out in paragraphs 1.41-1.50 of the report to this Committee on 11 December 2018 and Full Council on 18 December 2018, this is not recommended.
- 3.4 The council could decide not to approve the recommendation once the evaluation is complete, which would jeopardise the delivery and comprehensive development of the Brent Cross Cricklewood regeneration proposals thereby not achieving the corporate objectives set out in Section 5 of this report.

3.5

## **4. POST DECISION IMPLEMENTATION**

- 4.1 Once the council has selected a contractor, the council will issue the Award Notification Letters informing bidders of the outcome and the reasons behind the outcome. Following issue of these letters, the council must observe a mandatory ten-day standstill period before a contract can be entered into with the preferred bidder. This is to provide the unsuccessful bidders with the chance to seek an effective remedy if it contested that the council did not comply with the procurement regulations.

## **5. IMPLICATIONS OF DECISION**

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

### **Budget Monitoring**

- 5.1.1 The council has put in place procedures to ensure the effective monitoring of the financial performance of the BXC Programme. The budgets are as follows

## **Land Assembly**

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

#### **Budget Monitoring**

- 5.2.1 The council has put in place procedures to ensure the effective monitoring of the financial performance of the BXC Programme. The BXC Governance Board comprising senior officers of the council, including the Chief Executive and the Director of Finance, receives a detailed report each month setting out the financial performance of the BXC Programme. This report includes a breakdown of the performance against the approved budgets and details of the individual Officers responsible for managing the budgets included within the BXC Programme.

#### **Land Assembly**

- 5.2.2 The approved budget for land acquisition to facilitate the BXC programme is £63.13m, in addition to expenditure on advanced acquisitions of £4.0m. Spend to end of March 2019 was £51m. The spend profile is currently being updated to reflect the revised delivery programme.

#### **Thameslink Station**

- 5.2.3 The current approved budget in the capital programme is £364.5m following confirmation of the HMG grant funding agreement. The GLA previously provided a grant of £2.9m to support the BXC Programme.
- 5.2.4 Actual spend to date is £72.7m. The total contractual commitments at the end of May 2019 is £248.3m. The Council has submitted drawdown requests totalling £152.9m, of which all has been paid to date.

#### **Critical Infrastructure**

- 5.2.5 These works are funded from the £55m core critical infrastructure budget that is being provided as part of the MHCLG revised funding agreement for Brent Cross Cricklewood. Actual expenditure to date is £17.5k.

#### **Social Value**

- 5.2.6 As set out in the Assets, Regeneration and Growth Committee (ARG) 16 September 2019 <http://barnet.moderngov.co.uk/ieListDocuments.aspx?MIId=9929&x=1>

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

- 5.3.1 Article 7 of the Council's Constitution – Responsibility for Functions- sets out the terms of reference of the Policy and Resources Committee which include:
- Responsibility for strategic policy finance including recommending: Capital and Revenue Budget; Medium Term Financial Strategy and Corporate Plan to Full Council as well as Finance including: treasury management, local taxation, corporate procurement, grants and writing off debt, virements and effective use of resources.

- 5.3.2 The Council's Constitution, Article 7.5 responsibility for function, states the functions of the Assets, Regeneration and Growth Committee, includes responsibility for regeneration schemes and asset management.
- 5.3.3 Council, Constitution, Article 10 Table A states that the Assets Regeneration and Growth Committee is responsible for authorising (1) all disposal and acquisition of land for over £500k and (2) any transaction which is a "less than best" transaction (interpreted as the term is set out at s 123(2) of the Local Government Act 1972).
- 5.3.4 The Council has a range of powers to enter into the legal agreements envisaged by this report, including the general power of competence under Section 1 of Chapter 1 of the Localism Act 2011 to do anything that individuals can do subject to any specific restrictions contained in legislation as well as pursuant to Section 111 of the Local Government Act 1972 which provides that a local authority has power to do anything which is calculated to facilitate, or is conducive or is incidental to, the discharge of its functions.
- 5.3.5 Additionally, the Council has the power to acquire and dispose of land in accordance with Sections 120 to 123(2A) of the Local Government Act 1972 and for planning purposes under sections 226-234 Town and Country Planning Act 1990, subject to obtaining all appropriate consents and approvals.
- 5.3.6 Procurement of public works and services contracts over the relevant value thresholds must observe the requirements of the Public Contracts Regulations 2015, to include the placing of OJEU notices where such contracts are not drawn down from a compliant framework. The Public Services (Social Value) Act 2012 requires the Council to consider whether it can achieve an improvement to the economic, social and environmental well-being of an area as part of the procurement of these services. If so, the social value objectives identified must be written into the procurement process. All of this must be achieved with regard to value for money and in a way that is compliant with existing public procurement law. "Social value" objectives can include the creation of employment, apprenticeship and training opportunities for local people, trading opportunities for local businesses and the third sector; and the promotion of equality and diversity through contract delivery.
- 5.3.7 The Council is aware of the need for any funding which is supplied (by way of the SIC for example) to be made on terms which comply with state aid law (article 107 Treaty of the Functioning of the European Union) and as such any monies will be advanced on terms which reflect the approach of a private sector investor.
- 5.3.8 The Council's solicitors appointed on this scheme (GWLG) have advised that if Homes England's security is to be by way of a legal charge, then the power to grant this is not prevented by section 13 Local Government Act 2003 where the monies are borrowed by BXS JVLP (and not by the Council) and where it is the ultimate responsibility of a third party to make the repayments (i.e. the Council is suitably indemnified for its exposure)). This is the subject of current discussions with Argent Related. The Council will rely on section 1 of the Localism Act 2011 to enter into the Direct Agreement, grant the legal charge and (if necessary) enter into the loan agreement with Homes England. There is no need for the Council to form a company under section 4 Localism Act 2011 where its purpose for entering into the arrangements with Homes England is to achieve the comprehensive regeneration of 'Mega Phase A' (and thereafter the wider scheme) as opposed to being a commercial

one. It may nevertheless choose to form a company or to transfer the relevant property interests into an existing company or into BXS JVLP for reasons of structuring the transaction. Any transfer of assets must nevertheless satisfy the statutory duty to secure best consideration and to obtain any relevant statutory consents.

## 5.4 Risk Management

5.4.1 Risk management has been applied across all levels of the programme. As reported to Committee in September, owners and mitigation plans are identified and risks are measured against impact and likelihood to give an overall rating. High rating risks are escalated and reported through the defined reporting procedure with top risks reported to BXC Governance Board. Currently the key risks and mitigations set out in the Assets, Regeneration and Growth Committee (ARG) 16 September 2019

<http://barnet.moderngov.co.uk/ieListDocuments.aspx?MId=9929&x=1>

5.4.2 This section focuses on the station and waste delivery:

5.4.3 As a result of not contracting with NR and selecting a third-party contractor, an Asset Protection Agreement (APA) with NR is required for the design and construction phase, together with the associated timescales for document review. However, contrary to the original strategy, NR confirmed in November 2018 to the council that it wishes to focus on the Sidings and Rail Systems and therefore are content for the council to go to the market for these works and contract outside of NR. Helpfully, NR committed to supporting a collaborative APA process and the team within NR Engineering resources undertaking the assurance role for the Sidings and Rail systems design and build are very likely to also undertake the assurance role for the station design and build. The APA is now being finalised and will be agreed prior to contract award. These factors mitigate the risk to the programme regarding handback of the station.

5.1 Employing a contractor through NR would have provided some level of insulation against any incidents that may occur on site. This is being mitigated by appointing an experienced contractor who is used to working on NR infrastructure and has an approved NR principal contractor licence. By undertaking this OJEU procurement process, the council can select a contractor who has completed works before, minimising the risk.

5.4.4 Station Delivery Date – there is the risk that the May 2022 station opening date cannot be achieved. This would result in additional costs due to programme prolongation as the earliest viable opening date would be December 2022 due to restrictions on timetable changes. This could be later depending on other works on the railway. To mitigate this risk there are project and programme review boards in place that regularly monitor and challenge deliverables at all levels. Specific project risks are identified and managed at the work package level with clear owners and mitigation plans for each. Any risk that results in an impact on a key milestone is reviewed by the programme team and BXC governance board taking into consideration time and cost implications alongside impacts on BXS given the interdependencies and criticality of delivery of the station on the BXS programme.

5.4.5 Achieving the required railway possessions. This will be critical to maintaining programme and keeping within the cost envelope. It is critical to book possessions in advance including multiple reserve possessions. To mitigate this risk it is essential for the BXT team to keep in regular contact with NR railway possessions planner and escalate as required.

5.4.6 Thameslink station delivery costs – as with all major programmes there is the risk that costs will increase during programme delivery. This will be mitigated through the contract. An update will be provided as part of the recommendation for contract award. The Committee will also recall that the most important control mechanism for the council is to employ experienced staff who will provide diligent review and challenge of the NR cost base and reject any costs which are not reasonably and properly incurred. The council's Client and Re Thameslink delivery team comprises professionals used to working on the railway within Network Rail and are experienced in delivering large railway projects

5.4.7 Homes Building Fund - It is market norm for infrastructure loans to be secured against land, the difference here being that the land is owned by the council having not yet been acquired by the borrower, BXS JVLP. However, this approach increases the risk to the council's delivery control and its investment in BXC should BXS JVLP default on the loan facility. In order to mitigate this risk, Senior Officers are working with Homes England to put in place a framework that, in the event of default, enables both parties to work together to agree a revised delivery strategy that will continue to achieve housing delivery as well as recovering investment to date. This framework will be documented through a contractual Direct Agreement between the council and Homes England.

## 5.5 Equalities and Diversity

5.5.1 As set out in the Assets, Regeneration and Growth Committee (ARG) 16 September 2019

## 5.6 Corporate Parenting

5.6.1 None in the context of this report.

## 5.7 Consultation and Engagement

5.7.1 As set out in the Assets, Regeneration and Growth Committee (ARG) 16 September 2019

## 6 BACKGROUND PAPERS

6.1 Assets, Regeneration and Growth Committee, 27th November 2018, Brent Cross Cricklewood Update Report

<http://committeepapers.barnet.gov.uk/documents/s49849/Brent%20Cross%20Cricklewood%20Update%20Report.pdf>

6.2 Policy and Resources Committee 11 December 2018 Brent Cross Funding

<https://barnet.moderngov.co.uk/documents/g9460/Public%20reports%20pack%2011th-Dec-2018%2019.00%20Policy%20and%20Resources%20Committee.pdf?T=10>

6.3 Full Council 18 December 2018 Brent Cross Cricklewood Update Report

<https://barnet.moderngov.co.uk/documents/g9454/Public%20reports%20pack%2018th-Dec-2018%2019.00%20Council.pdf?T=10>

6.4 Policy and Resources Committee 20 February 2019 Brent Cross Funding

<http://barnet.moderngov.co.uk/documents/s51244/Brent%20Cross%20Cricklewood%20Funding%20and%20Delivery%20Strategy%20Report.pdf>

- 6.5 Chief Officer Decision, Brent Cross Cricklewood Funding and Delivery Strategy, 6 March 2019  
<http://barnet.moderngov.co.uk/ieDecisionDetails.aspx?ID=7163>
- 6.6 Assets, Regeneration and Growth Committee, 25 March 2019, Brent Cross Cricklewood Update Report  
<http://barnet.moderngov.co.uk/documents/s51730/Brent%20Cross%20Cricklewood%20Update%20Report.pdf>
- 6.7 Assets, Regeneration and Growth Committee, 13 June 2019, Brent Cross Cricklewood Update Report  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=696&MId=9928&Ver=4>
- 6.8 Assets, Regeneration and Growth Committee, 16 September 2019  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?MId=9929&x=1>

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London Borough of Barnet  
Brent Cross West Station Detailed Design and  
Construction (GRIP 5-8)

Memorandum of Information  
(MOI)

Contract ref 701864

Issue 01



## Abbreviations

AIP	Approval in Principle
ALO	Adjacent Line Open
AR	Argent Related
BS OHSAS	British Standard for Occupational Health and Safety Management Systems
BXC	Brent Cross Cricklewood
BXL	Brent Cross London
BXS	Brent Cross South
BXS LP	A joint venture between AR and LBB responsible for BXS
BXT	Brent Cross Thameslink
BXW	Brent Cross West
CDM	Construction Design Management Regulations 2015
CSM	Common Safety Method
DUNS	Data Universal Numbering System
EIR	Environmental Information Regulations
EMT	East Midland Trains
GRIP	Governance Railway Infrastructure Projects
GTR	Govia Thameslink Railway
HASi	Hammerson Aberdeen Standard Investments
HSE	Health and Safety Executive
HSQE	Health, Safety, Quality and Environmental
ISO	International Standard Organisation
ITT	Invitation to Tender
LBB	London Borough of Barnet
M&E	Mechanical and Electrical
MEP	Mechanical, Electrical and Plumbing
MEAT	Most Economically Advantageous Tender
MOI	Memorandum of Information
NEC3 ECC	New Engineering Contract, 3 <sup>rd</sup> Edition, Engineering and Construction Contract
NLWA	North London Waste Authority
NR	Network Rail
OJEU	Official Journal of the European Union
OLE	Overhead Line Equipment

PAS	Publicly Available Specification
PCR	Public Contract Regulations
PIN	Prior Information Notice
PPS	Possession Planning System
PSC	Person of Significant Control
P-Way	Permanent Way
RAM	Route Access Manager
RFF	Rail Freight Facility
RMA	Reserved Matters Application
SME	Small and Medium-Sized Enterprises
SQ	Selection Questionnaire
TOC	Train Operating Company
VAT	Value Added Tax
VCSE	Voluntary Community and Social Enterprise
WPB	Work Package B
WPD	Work Package D
WPE	Work Package E
WTS	Waste Transfer Station

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## 1. Purpose of this Document

### 1.1 Introduction

- 1.1.1 LBB are seeking to appoint a Supplier to deliver the Detailed Design and Construction (GRIP 5-8) of the new Brent Cross West Thameslink (BXT) Station.
- 1.1.2 This document provides the relevant information in respect of and outlines the procedure regarding this procurement exercise, and in particular:
- Summarises the background and nature of this procurement exercise;
  - Sets out specific instructions relating to the submission of Selection Questionnaire (SQ) responses; and
  - Provides guidance in relation to the content of the Invitation to Tender (ITT) documentation.
- 1.1.3 This procurement exercise is to be conducted as a Competitive Procedure with Negotiation process under the Public Contract Regulations (PCR) 2015.
- 1.1.4 The contract shall be awarded on the sole basis of the most economically advantageous tender (MEAT) in accordance with Regulation 67 of the PCR 2015.
- 1.1.5 At the conclusion of the subsequent tender process, the successful chosen Supplier will be required to enter into contract on the terms contained in a NEC3 ECC Contract – Option C with Z-clauses and X-clauses.
- 1.1.6 Following the issue of PIN ref 2018/S 207-471593 and subsequent OJEU notice, Suppliers are hereby invited to submit a SQ response for the provision of the delivery of the Detailed Design, Construction, testing, commissioning and handover (GRIP 5-8) of the new Brent Cross West (BXW) Station in accordance with the procurement documentation comprising of:
- This MOI document
  - Appendix A - SQ Questions:
    - Part 1: Potential Supplier information;
    - Part 2: Exclusion Grounds; and
    - Part 3: Selection & Project Specific Questions.

- 1.1.7 All response documents must be correctly completed online and as required uploaded to LBB's e-tendering portal, [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) no later than 12.00 noon on Monday 4 March 2019.
- 1.1.8 LBB reserves the right to terminate the Process and when appropriate, re-advertise the requirement for the Services in the event that an insufficient number of affordable, compliant and acceptable responses are received to ensure best value and/or genuine competition.
- 1.1.9 Suppliers returned submission must be supplied in the format stated. Suppliers attention is drawn to section 3, overview of the procurement exercise and section 4 SQ Stage, which must be complied with in full to ensure Supplier's submission is valid. Failure to comply may mean Suppliers response is invalidated.



## 2. Brent Cross Cricklewood (BXC) Regeneration

### 2.1 Introduction

- 2.1.1 This Memorandum of Information is provided to ensure all Suppliers fully understand the requirements of the process for the procurement of a Supplier to deliver the Detailed Design, Construction, testing, commissioning and handover (GRIP 5-8) of the new BXW Station.
- 2.1.2 The BXC regeneration programme will create a new, vibrant town centre for north west London offering great benefits to both the local population, and through its strategic location and enhanced connectivity, the whole Greater London region.
- 2.1.3 This is LBB's most significant growth and regeneration programme, identified in the London Plan as a key opportunity area with the potential to become a new and much needed economic centre for the capital, capable of supporting regional housing, shopping, employment, living and leisure.
- 2.1.4 The BXC programme will deliver comprehensive re-development of the 151-hectare site with 7,500 new homes, up to 27,000 new jobs and 455,000 square metres of commercial space. The outline planning consent granted in 2010, includes associated highways and infrastructure works, three replacement schools, improved green spaces, leisure facilities and improved cycling and walking routes.
- 2.1.5 The comprehensive regeneration programme is dependent on the delivery of the new BXW station as part of the wider Brent Cross Thameslink (BXT) programme. It is due to open in May 2022 with eight trains per hour and will see two million journeys in the first year, rising to five million on completion of the BXC development in 2031.
- 2.1.6 BXW station will be positioned on the Midland Mainline between existing Hendon and Cricklewood stations enabling through journeys from Luton to Brighton. It will take just 12 minutes to reach Kings Cross St Pancras, central London's best-connected transport hub and the only station with direct rail access to continental Europe via Eurostar.
- 2.1.7 At peak times, there will be eight GTR Thameslink passenger trains linking to Kings Cross St Pancras in 12 minutes. In another three minutes, passengers will arrive in Farringdon for Crossrail services (Elizabeth line) providing direct access to Heathrow Airport within 50 minutes. There will also be direct connections to Luton and Gatwick airports.
- 2.1.8 The new station provides an important and much needed east-west link across the Midlands Mainline. For the first time, local residents, pedestrians and cyclists will have direct and uninterrupted access to neighbourhoods across the railway line.



- 2.1.9 The new BXW Station is a key work package of the wider Brent Cross Thameslink (BXT) programme which in turn, is a key part of the Brent Cross Cricklewood (BXC) regeneration which is detailed below.
- 2.1.10 LBB is now looking for an experienced delivery partner to deliver the new station on the Thameslink line by May 2022.

## 2.2 Background and Context

2.2.1 BXC regeneration is essentially being delivered by three interconnecting schemes.



### **Brent Cross South (BXS)**

A new mixed-use town centre delivered by the BXS Limited Partnership (BXS LP) – LBB and Argent Related

### **Brent Cross Thameslink (BXT)**

LBB has previously formed a joint venture with Capita – Regional Enterprise (Re) Limited will deliver the Brent Cross Thameslink scheme.

### **Brent Cross London (BXL)**

Expansion of the Brent Cross Shopping Centre along with infrastructure improvement works being delivered by HASi

- 2.2.2 Planning Permission (Ref No: C/17559/08) for the comprehensive regeneration of the BXC site was granted on 28 October 2010 and revised through a Section 73 application in 2013/4. The scheme has been sequenced to facilitate phased delivery, starting with BXL - the expansion of Brent Cross Shopping Centre and the associated infrastructure works. This would then enable BXS and BXT to commence.
- 2.2.3 BXL Developers Hammerson and Aberdeen Standard Investments announced deferral of their scheme in July 2018. <https://www.hammerson.com/media/press-releases/2018-half-year-results/>
- 2.2.4 As a result, LBB, with approval of HM Government has restructured the delivery of the BXC regeneration programme to enable the start of BXS and the BXW station without having to rely on the start of the BXL works.
- 2.2.5 The BXC site is strategically located at the junction of the M1 and A406 (North Circular) and is bordered by the Midland Mainline and A5 to the west and the Northern Line and A41 to the East and sits in the south of the London Borough of Barnet. Three Barnet wards, straddling 3 Wards: are directly impacted: Childs Hill, Golders Green and West Hendon. To the west of the BXT site, two Brent Council wards are impacted: Mapesbury and Dollis Hill and one ward to the south of the development, fortune Green, is within Camden Council's boundary.



- 2.2.6 The site is both dominated and constrained by the existing road network and rail infrastructure. It contains industrial land, existing railway land, retail 'sheds' and large areas of surface car parking. Although extremely well connected by road, and adjacent to tube and rail lines, the site suffers from poor public transport accessibility.
- 2.2.7 The geographical scope of the BXT programme extends from the north end of Cricklewood Station to the North Circular Road overbridge (SPC1/42A) over the Midland Mainline and to the current Eastern and Western NR boundary (noting the eastern NR boundary will move as part of the BXC development). The new footbridge over the railway and access roads will extend beyond the NR boundary to Geron Way/Edgware Road to the west and Brent Terrace/new access roads in the east.
- 2.2.8 The successful delivery of the BXW station is dependent on the completion of other works within the BXT programme. The existing BXC North Sidings require relocation to an area adjacent to the existing BXC South Sidings. The removal of the North Sidings will allow the existing fast and slow lines to be realigned to make space for the construction of the new BXW station platforms. The precursor works to the station construction include the relocation of existing staff accommodation for the Train Operating Companies (TOC). The current TOCs are Govia Thameslink Railway (GTR) and East Midlands Trains (EMT).
- 2.2.9 Installation of new sidings and TOC accommodation commenced on site at the start of this year, with substantial completion planned for Christmas 2019. Following this the existing north sidings will be removed and then the fast and slow line track realignment will commence in early 2020.
- 2.2.10 Wider works are planned alongside the station development as part of the BXT programme including: a replacement Waste Transfer Station (WTS), which will be operated by the North London Waste Authority (NLWA); and a new Rail Freight Facility (RFF) to be operated by DB Cargo. Relocation of these facilities from the east to the west side of the railway will release railway land for development.
- 2.2.11 The marked-up image below the approximate locations of the various elements of the BXT programme with overview of each package being managed and delivered by BXT programme and its relationship with the BXW Station.





Brent Cross West Station

Waste Transfer Station

Sidings Compound

Rail Freight Facility

### **Sidings and sidings compound (WPE)**

To enable the development of the station area, the existing North sidings and associated sidings compound must be relocated. The proposed new sidings is a like for like facility, with the new arrangement meeting the existing operational requirements. Works have recently started on site being delivered by the BXT Programme in partnership with NR.

### **Rail Freight Facility (WPD)**

The site proposed for the new station is adjacent to railway tracks leading into the existing NLWA waste transfer station which is classified as a strategic rail freight facility (RFF). Therefore, a replacement strategic RFF site is being constructed to the south west of the site for aggregate storage and transfer. The new freight site will enable vehicular access from the A5, an internal access road, 2 rail freight sidings fed from the Hendon Freight lines on the Midland Main line route, car parking for up to 30 vehicles and a gatehouse. Planning permission for this facility was secured by LBB and facility is currently being constructed by DB Cargo and overseen by the BXT Programme Management team.

### **Waste Transfer Station (WPE)**

To allow the relocation and improvement of other rail assets within Brent Cross Thameslink area and make way for BXS development, the existing North London Waste Authority's (NLWA) Hendon road to rail Waste Transfer Station (WTS) needs to be relocated within the Brent Cross area. The work package includes the design, construction and handover of a fully enclosed, road to road WTS to take waste material from the London Boroughs of Barnet & Camden, where the waste material will be bulked up and sent onto other sites for processing and disposal. Detail design for this facility is near completion with enabling works planned to start on site in Feb 2019.

## 2.3 Brent Cross West Station Overview

- 2.3.1 The BXW Station is a proposed new railway station on the Midland Mainline between Cricklewood and Hendon Stations to serve the new Brent Cross Cricklewood development. UK Stations are categorised A-F with A being the most important. The station is identified as a Category B 'Regional Interchange' station based on predicted passenger flows, which are over 2 million for the first year.
- 2.3.2 At peak times, the new station is proposed serve up to 8 Thameslink services an hour in each direction.
- 2.3.3 The station is to comprise 4 platforms (2 islands), circa 255m in length, which will serve the slow and fast lines. Regular Thameslink stopping services are planned to use the slow line platforms, whereas the fast line platforms are only proposed to be used during closures of the slow lines or service disruption.
- 2.3.4 Straddling the two island platforms will be an open passenger concourse, complete with a ticket gate-line. Lifts, stairs and escalators will provide passengers access to the platforms.

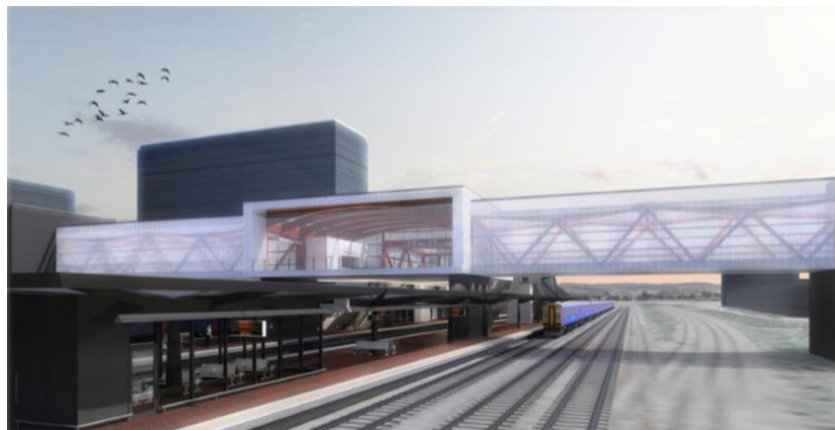


(Station Concourse)

- 2.3.5 Access to the passenger concourse, over existing and proposed tracks, will be via an overbridge that will connect to the concourse to form a 24hr pedestrian linking the new station Western and Eastern entrances. The overbridge will be fully roofed (Transparent ETFE single ply) with polycarbonate wall cladding.



(Inside of the Overbridge)



(Outside of Overbridge showing platforms, tracks and Station Concourse)

- 2.3.6 The Western Entrance connects to the station concourse via the overbridge. The entrance has a staircase, 2x escalators & 2x lifts to take passengers to the station concourse. The key element specifications for the Western Entrance Station Building are:

- Roman style Brickwork
- Commercial Glazing with Black Mullions
- Black framed external Canopy with PTFE infill





(Station Western Entrance)

- 2.3.7 The station eastern entrance building is to be designed and constructed by or on behalf of BXS LP as part of the wider BXS development.
- 2.3.8 However, the fit-out of the eastern entrance will be undertaken by the successful supplier/Station contractor including 2x lifts, 2x escalators, fixed staircase and associated M&E, communications and fire detection systems.
- 2.3.9 All platforms are to accommodate a train length of 243m, and as such a length of 255m of platform face has been provided on each platform which includes space for platform fence/gates and anti-trespass paving.

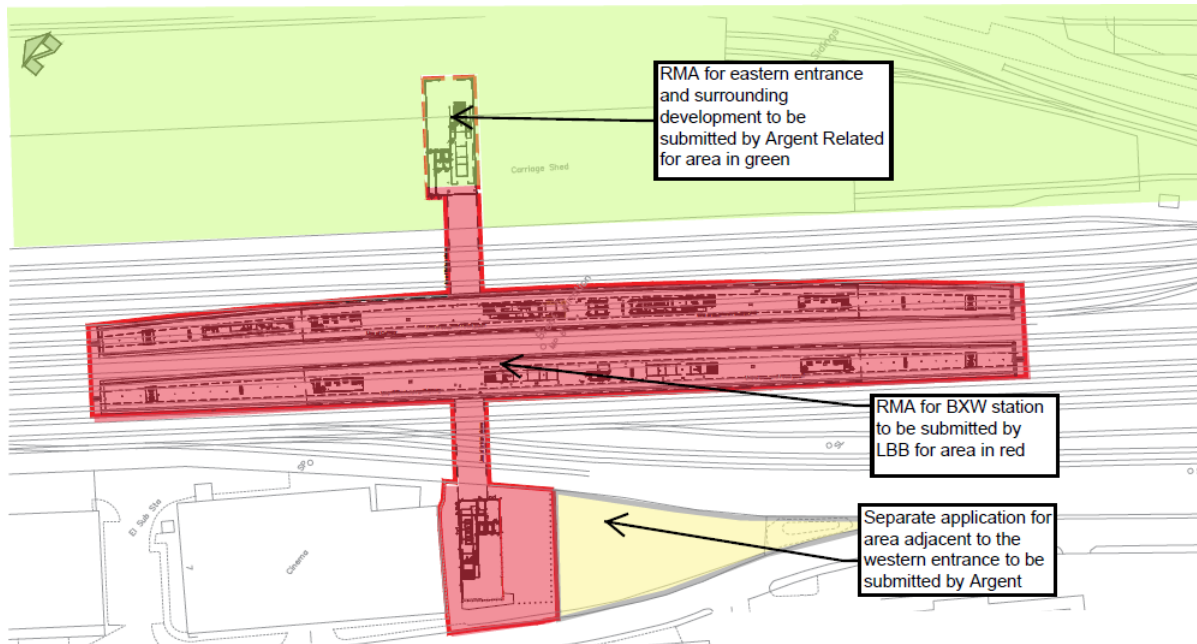


(Platform view)

## **2.4 Station Design**

- 2.4.1 The station design has achieved Approval in Principle (AiP) at GRIP 3 with approval from the NR Route Asset Managers (RAM). The majority of GRIP 4 deliverables have been accepted by NR with some minor comments remaining to be resolved on the Civils and MEP Form 002 design submissions.
- 2.4.2 The design up to GRIP 4 has been produced by Capita, which is to be taken forward by an appointed GRIP 5-8 Design & Build contractor following completion of this procurement process.
- 2.4.3 A basic design for the station eastern entrance has also achieved Approval in Principle and will be included in the Works Information. However, it should be noted that the station eastern entrance building is expected to form part of the wider Brent Cross South development and that BXS LP will be awarding a design contract in early 2019 for these works. It may be that the BXS LP design for the eastern entrance building will not affect the station GRIP 4 design and that BXS LP will construct around the designed station box.
- 2.4.4 Suppliers should assume that the AiP design for the eastern entrance will be constructed by the station Design & Build contractor. The contractor will be required to integrate the detailed design of the station eastern entrance with BXS LP's design for the wider BXS development.
- 2.4.5 The GRIP 4 station design achieves step free access from street (both entrances) to the platform. There is a desire to achieve step free access between platform and train in line with industry definitions. Should this not be possible, the platforms are to be designed to provide level access using platform humps or an alternative solution to minimise stepping distances as far as possible. The station contractor will be required to include this within his detailed design.
- 2.4.6 The station western entrance building will be designed and constructed by the station contractor, including associated utility connections and drainage. The external area around the western entrance including transport interchange facilities will be primarily designed and constructed by BXS LP. The contractor will be required to interface the design of the western entrance building and associated station infrastructure with the BXS LP design for the external area.
- 2.4.7 The station GRIP 4 design has been integrated with the slow and fast line track realignment design produced by Amey Rail Ltd under a contract with NR, as part of the wider BXT programme. The detailed design (GRIP 5) for these works is expected to be completed prior to the station design and build contract being awarded. Therefore, the station contractor will need to ensure that his detailed design is fully integrated with the track realignment design, including permanent way (P-way), Overhead Line Equipment (OLE) and other rail systems.

- 2.4.8 The station GRIP 4 design has been developed with consideration of various stakeholder requirements, including LBB, NR, Govia Thameslink Railway and BXS LP. Material choices reflect the need to find a compromise between maintainability for the future station operator and the design aesthetics required for the station's role as gateway to the new BXC regeneration area.
- 2.4.9 The selected station Design & Build contractor will be required to produce a GRIP 5 detailed design that is compliant to NR/Railway Industry Standards and to the project requirements.
- 2.4.10 LBB will be entering an Asset Protection Agreement with NR for the design and construction of the new BXW station. The contractor shall be responsible for obtaining detailed design approval from NR.
- 2.4.11 The contractor may propose alternative design options that vary from the approved GRIP 4 design, but he will be responsible for negotiating and obtaining approval of any such design changes from NR as well as managing changes to the planning permission.
- 2.4.12 Although the station has outline planning permission under the 2014 Section 73 approval, a detailed Reserved Matters Application (RMA) is required to be submitted to the Local Planning Authority. The current programme is for the station RMA to be submitted in April 2019, based on the GRIP 4 design. Planning determination is therefore expected in September 2019.
- 2.4.13 The contractor will be required to develop the detailed design in accordance with the approved planning permission, once obtained and provided by LBB.
- 2.4.14 BXS LP will be responsible for submitting a separate RMA for the station eastern entrance building as part of a wider application for the development around the station, including transport interchange facilities on the eastern side.
- 2.4.15 BXS LP will also be responsible for submitting a separate planning application for the external area around the station western entrance building.
- 2.4.16 An indicative planning boundary for the station RMA is shown below, in context with the adjacent BXS LP developments.





## **2.5 Station Construction**

- 2.5.1 Prior to construction of the station, the existing Network Rail 'Jerich Shed' will need to be demolished. The existing Jerich Shed is approximately 0.77 ha in area and can be described as a large railway warehouse measuring approximately 240m by 30m. The Jerich Shed is currently empty and not in use. Its demolition will facilitate the construction of the station entrance and overbridge as well as the wider BXS development.
- 2.5.2 The construction of the station platforms cannot commence until the existing BXC North Sidings are removed by Amey Rail Ltd, which is currently planned to be completed in January 2020. New tracks are to be constructed between January and May 2020 to allow the Up Slow and Down Slow lines to be slewed to their new positions during 72-hour possessions currently planned for the weekends of 2-4<sup>th</sup> May 2020 and 23-25 May 2020 respectively. These works will also be undertaken by Amey.
- 2.5.3 Subsequent to the possessions and track slew commissioning, the new station slow line platforms construction site will become sandwiched between two live operational railway lines. Prior to May 2020 this area will not be adjacent to any live operational railway and therefore the contractor should seek to undertake as much work as possible to the slow line platforms prior to 4<sup>th</sup> May 2020.
- 2.5.4 Following the slow line track slews, the Up Fast line will also be realigned to make space for the fast line platforms. The new Up Fast line track alignment is planned to be commissioned during a 72-hour possession over the weekend of 29-31 August 2020. This will allow the fast line platforms to be constructed, but this worksite will again be sandwiched between two live operational railway lines.
- 2.5.5 Details of the track realignment works are included in the Site Information including the GRIP 4 design and current programme.
- 2.5.6 The station concourse and overbridge has been designed to be assembled on site and lifted in from the east and west sides of the station during closures of the railway.
- 2.5.7 The station contractor will be responsible for identifying and booking required possessions in accordance with NR's access procedure.
- 2.5.8 The station contractor will be required to interface his works with those of NR's contractor Amey Rail Ltd.

- 2.5.9 The station contractor will also be required to interface his works with those of BXS LP's appointed contractor for the BXS development on the eastern side. This interface will be required to be very closely managed as BXS LP's contractor will be working in the same area at the same time in constructing the development around the eastern entrance.
- 2.5.10 The station contractor will be required to obtain acceptance from NR for all construction documents including a Construction Phase Plan, Method Statements / Work Package Plans, Inspection & Test Plans etc.
- 2.5.11 Under the Section 73 outline planning consent, the required pre-commencement conditions to be discharged by the applicant (LBB) are already known. The contractor will be required to support the discharge of a number of these pre-commencement conditions.
- 2.5.12 The station contractor will ensure appropriate provision for stakeholder and community engagement is delivered including the requirement to integrate with the wider Brent Cross Cricklewood regeneration communications strategy and BXT communications plan.

### 3. Overview of this Procurement Exercise

#### 3.1 Indicative Timetable for BXT Station Procurement

3.1.1 This procurement exercise will be undertaken in accordance with the following indicative timetable. LBB reserves the right to amend the timetable at any time during the procurement exercise and, if it does so, will notify all relevant Suppliers of any amendments to the timetable through the e-tendering portal. In particular, LBB reserves the right to amend the length of the negotiation stage and if necessary, commence this sooner in the circumstances described in section 3.3.

Milestone	Dates
Publication of OJEU SQ (SQ)	Fri 1 February 2019
Deadline for Supplier SQ Clarification Submission	Fri 15 February 2019
LBB Response to SQ Clarifications	Fri 22 February 2019
SQ Submission Deadline	Mon 4 March 2019
SQ Evaluation Period - LBB Submit Clarification Questions	Mon 4 Mar – Fri 22 Mar 2019
Shortlisted & Unsuccessful Suppliers Notification	Fri 29 March 2019
Publication of Invitation to Initial Tender (ITT)	Mon 1 April 2019
Supplier Deadline to Submit ITT Clarifications	Thu 18 April 2019
LBB Deadline Response to ITT Clarifications	Fri 10 May 2019
Supplier Initial Tender (ITT) Submission Deadline 12 noon	Fri 24 May 2019
Initial Tender Review/Evaluation Stage	Tue 28 May – Mon 24 Jun 2019
Negotiation Meetings Period. (Tenderers to keep dates available for the period)	Tue 25 Jun – Fri 19 <sup>th</sup> July 2019
Invitation to Submit Final Tenders (subject to negotiation confirmation)	Mon 22 July 2019
Final Tender Deadline	Fri 2 August 2019
Final Tender Evaluation Period	Tue 6 Aug – Mon 26 Aug 2019
ARG Approval for Contract Award	Mon 16 Sep 2019
Standstill Period	Tue 17 Sep – Mon 30 Sep 2019
Instruct legal to complete	Tuesday 1 October 2019
Contract Sealing and Completion	Monday 14 October 2019



## **3.2 SQ Stage**

- 3.2.1 Under this procurement exercise, there will be a SQ stage followed by a tender stage. The initial tender stage will then be followed by a negotiation stage (but note comments at 3.3). Tenderers will then be required to submit their final tender submission.
- 3.2.2 As part of the SQ stage, Suppliers are required to complete and submit SQ responses in accordance with the timetable referred to in section 3.1.1 and instructions set out in section 4.3.
- 3.2.3 A Data Room will be set up where LBB will place the MOI/SQ Supporting Documents such as draft design drawings/information, to share with Suppliers. Suppliers will be required to complete a Confidentiality form which will be made available. Suppliers shall complete and submit this form as a clarification submission. This will allow the Data Room administrators to grant permissions to suppliers to access the supporting documents.
- 3.2.4 Following the receipt of SQ responses, LBB will:
- Evaluate each SQ response in accordance with the SQ Evaluation Process and SQ Evaluation Criteria as set out in section 4.6 and 4.7.
  - Following such evaluation, a shortlist of suppliers from the highest scoring SQ submissions will be selected.

3.2.5 The shortlist will comprise of up to three (3) highest scoring Suppliers who indicated in their SQ response that they will submit a Tender and provide an acceptance of the Minimum Requirements (see paragraph 4.2).

### **3.3 Initial & Final Tender Stages**

3.3.1 Suppliers who are shortlisted will be issued with an Invitation to Tender (ITT) and the ITT support documentation. Available information concerning the content of the ITT (including expected ITT bid deliverables and evaluation criteria) is set out in Section 5.

3.3.2 Suppliers will then submit their initial tender submission in response to the ITT. The Data Room referenced in section 3.2.3 can be used by Suppliers at this stage to submit any supporting documentation.

3.3.3 On receipt of initial tenders LBB will evaluate these and (assuming LBB has shortlisted three Suppliers) anticipates that it will select two Suppliers to proceed to the negotiation phase (at which point the unsuccessful Supplier will be notified in writing and feedback given). However, LBB reserves the right to:

3.3.3.1 Award the contract to a single preferred Supplier at this stage without the need for further negotiation (at which point the unsuccessful Suppliers will be notified in writing and feedback given); or

3.3.3.2 Proceed with all three suppliers to the negotiation phase, in which case the negotiation phase may start sooner (by up to 2 weeks) than programmed and Suppliers should allow for this.

3.3.4 During the negotiation phase LBB and Suppliers will meet to discuss and improve the initial tender. Following the completion of the negotiation process, Suppliers are then given a period of time to submit their final tenders which will then be evaluated to determine and select a single preferred Supplier.

3.3.5 LBB reserves the right to invite the second placed Supplier to be a reserve supplier (and subsequently to award the contract to that reserve Supplier), should it prove not to be possible to complete contracts with the preferred Supplier. There will however be no obligation on the second placed Supplier to accept such an invitation, nor an obligation on LBB to make one.

## 4. Selection Questionnaire (SQ) Stage

### 4.1 General

- 4.1.1 LBB is using a SQ to assess Suppliers' eligibility, financial capacity, experience and capability in order to create a shortlist to be invited to tender. The purpose of the SQ is to assist LBB in selecting a short list of potential candidates to advance to the following Invitation to Tender (ITT) stage. The intention is to obtain a short list of up to 3 Suppliers. LBB provide no guarantee that the shortlist derived from this process will result in a higher or lower number of Suppliers being shortlisted.
- 4.1.2 This SQ is in accordance with the "Competitive Procedure with Negotiation" as defined in The Public Contracts Regulations 2015 (as amended).
- 4.1.3 If the SQ documents contain references to standards, procedures, bye-laws and other standard documents issued by LBB, Suppliers are responsible for obtaining and complying with the requirements of these documents, and any difficulties should be raised as SQ clarification requests via LBB's e-tendering portal.
- 4.1.4 Supplier's electronic copy of their SQ must be completed online using LBB's e-portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) with full submissions uploaded no later than the time and date as outlined above or such later date as LBB notifies. Individual files uploaded should be no larger than 10MB in size and any complete submission should not exceed 30MB in total. Further guidance on LBB's e-Portal can be found as a support document within the tender documents on the portal. Should technical difficulties be experienced with the portal please contact: [support@curtisfitchglobal.com](mailto:support@curtisfitchglobal.com) and copy [procurement@barnet.gov.uk](mailto:procurement@barnet.gov.uk).
- 4.1.5 In completing this SQ, Suppliers shall be deemed to have read, understood and made appropriate allowance for all information included within this MOI document (including all Appendices and attachments) as well as the OJEU notice for this tender process.

### 4.2 Minimum Requirements

- 4.2.1 LBB have identified that the selected supplier to deliver the Detailed Design, Construction, Testing, Commissioning and Handover (GRIP 5-8) of the new BXW Station, must meet the requirements set out below as a minimum. Suppliers who do not meet these requirements at SQ stage are advised not to submit an SQ response, as they will not pre-qualify;
- The supplier must have a valid NR principal contractor license in accordance with NR standard NR/L2/INI/CP0070 (or if not be able to demonstrate that they

will have one in place by the date of Contract award or are in a consortium with an organisation that has the necessary licence)

- The selected Supplier must enter into a NEC3 ECC Contract – Option C contract (Z-clauses and X-clauses).
- Single Point Design Responsibility – When entering into contract with LBB, the chosen supplier must take ownership and responsibility of the completed GRIP 4 Design.

### **4.3 Supplier Instructions**

- 4.3.1 Suppliers must carefully check the documentation to ensure that they have all the required information. Should any part be found to be missing or unclear, this must be raised as a clarification request via messaging on LBB's e-portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) as soon as is reasonably practicable. No liability will be accepted by LBB for any omissions or errors in the documentation.
- 4.3.2 Suppliers shall take no advantage of any apparent errors or omissions. In the event of the discovery of any such errors or omissions, they will make LBB aware immediately.
- 4.3.3 SQ submissions must be in English.
- 4.3.4 All financial information must be priced in pounds sterling.
- 4.3.5 All questions must be answered and where written submission is required, suppliers shall use font style Arial and font size 11.
- 4.3.6 Suppliers are responsible for the accuracy of their submissions.
- 4.3.7 Suppliers are responsible for identifying, planning and pricing everything necessary to complete the requirement.
- 4.3.8 Suppliers must not alter the SQ documents and must submit a response that is fully compliant with the SQ documentation and these instructions. LBB reserve the right to reject any responses which do not comply with any stage of this process.
- 4.3.9 Suppliers are advised to read the SQ instructions thoroughly as failure to complete the response documents exactly as prescribed means submissions may not upload correctly to [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) and, if so, will not be evaluated.
- 4.3.10 Suppliers are to ensure that response submissions contain all the information requested. No additional material over and above that requested should be included as it cannot be evaluated.
- 4.3.11 Any defined terms shall unless stated have the meaning given in the terms and conditions. They are deemed to be familiar with all the terms, abbreviations and acronyms utilised throughout the SQ documentation.
- 4.3.12 Responses are prepared and submitted at Suppliers' own risk. Although this is a bona fide SQ process, LBB may reject any or all submissions and provide no guarantee that any subsequent Invitation to Tender stage will be undertaken, or Contract will be awarded. LBB will not reimburse any costs incurred during this process or any subsequent discussions or negotiations, howsoever arising.

- 4.3.13 LBB require a single channel of communication for responses that is coherent, co-ordinated and consistent. If Suppliers are submitting as a group of economic operators (such as a consortium), they will need to ensure that their responses adhere to the requirements set out by the Cabinet Office Guidance on Consortia and bids by groups of economic partners.
- 4.3.14 If Suppliers are submitting as consortium, throughout their response they must ensure that responses are structured such that it is clear how each answer relates to the consortium as a whole and, where relevant, to each of the consortium members. Consortium members are not considered as subconsultants.
- 4.3.15 If it is found necessary to amend the submission documents prior to the date for return of SQs, Suppliers will be notified via LBB's e-tendering portal. Any such amendment shall not amend the deadline for SQ return unless LBB notify otherwise.
- 4.3.16 Suppliers are required at any time during the SQ process to inform LBB of any changes to circumstances which impact on their response to the SQ, selection or suitability to tender. Suppliers will be rejected from the procurement process where they subsequently fail a selection criterion that they originally passed at SQ stage.
- 4.3.17 Failure to disclose all material information (facts that LBB regard as likely to affect the evaluation process), or disclosure of false information at any stage of this procurement process may result in ineligibility for award. Suppliers must provide all information requested and not assume that LBB have prior knowledge of any of this information. Suppliers must answer each question in full and must not cross refer to answers to other questions. LBB reserves the right not to evaluate answers given by way of cross reference.
- 4.3.18 LBB actively seek to avoid conflicts of interest and reserve the right to reject Suppliers as ineligible where LBB perceive an actual or potential conflict of interest. Suppliers must advise all potential conflicts of interest as a clarification request via LBB's e-tendering portal prior to submission of Suppliers completed response. LBB will then confirm as soon as they can if they consider these significant enough to exclude the Supplier from the SQ process.
- 4.3.19 Suppliers must confirm acceptance of the Minimum Requirements (see paragraph 4.2).



#### 4.4 SQ Clarifications

- 4.4.1 If there is any doubt about the meaning of the SQ documents, our requirements or any other matter, Suppliers should submit a clarification request via LBB's e-tendering portal. The final date for submitting clarification requests is 12 noon 15 February 2019
- 4.4.2 SQ clarification requests must only be submitted via LBB's e-tendering portal. They must not be made directly to any LBB staff or Re/Capita staff.
- 4.4.3 All relevant clarification requests and responses will be circulated to all Suppliers.

#### 4.5 SQ Submission

- 4.5.1 All SQ documentation is to be returned via on LBB's e-portal only ([www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk)).
- 4.5.2 All response submission documents must be correctly uploaded to LBB's e-tendering portal, and all questions completed, by no later than **12 noon on Monday 4<sup>th</sup> March 2019**. All documents are to be uploaded as per the correct procedures. Any response received after that time will not be accepted unless LBB have granted an extension to the SQ period to all Suppliers. Please ensure all documents follow the precise format prescribed in this document. Failure to do so means that responses may not correctly upload to our electronic evaluation system and may not be evaluated. The two reasons that prevent successful upload to the e-tendering portal are documents that are too large and submitting post upload deadline.
- 4.5.3 LBB reserve the right to change the return date for responses. If an extension to the SQ period is granted, all Suppliers will be notified via LBB's e-tendering portal.
- 4.5.4 If Suppliers are given the opportunity to resubmit a response following the grant of an extension of time (after they have already submitted Suppliers response), they must clearly mark the revised offer as such, and date it. They should also provide a statement that it supersedes any previous unopened response.
- 4.5.5 Electronic copies of the response document must be in PDF format. Any scanned documents must be in PDF format.
- 4.5.6 The following documents constitute "the response":
- Completed SQ Forms.
  - Confirmation of acceptance of the Minimum Requirements (see paragraph 4.2)
- 4.5.7 Compliant responses will be evaluated by LBB technical and commercial stakeholders:
- a. Each question will be scored as indicated in section 4.7 – SQ Evaluation criteria
  - b. Pass/fail criteria will apply as indicated; and



- c. Indicated weightings will be applied to scored responses, and only those SQ submissions with no fails will be scored and ranked.

#### 4.6 SQ Evaluation Process

- 4.6.1 The selection process will use the SQ response for a rigorous and objective assessment of each Supplier. The assessment of all aspects stated shall be recorded for audit purposes. The SQ process will ensure Suppliers are evaluated fairly against a pre-determined evaluation matrix.
- 4.6.2 Upon receipt, the SQ submission will remain unopened until after 12 noon on the day of the SQ Submission Deadline.
- 4.6.3 Each SQ will be reviewed prior to evaluation of the Technical and Financial capacity to ensure its completeness and compliance to the SQ instructions. Incomplete or non-compliant SQs may be rejected prior to evaluation.
- 4.6.4 Only those suppliers that pass the pass/fail questions (2.1- 2.3, 3.1 - 3.2, 4.1 -4.2, 6.1-6.3, 7.1-7.2,8.1-8.2,9.1-9.8) will be assessed against the scored questions in sections 8.3 and project specific questions in section 9.8-9.16 of the SQ.
- 4.6.5 Section 8.3 and 9.9-9.17 will form the quality assessment and will be marked against a scoring criteria of 0-5 which is provided in **Table C**.
- 4.6.6 The assessment of the SQs received will be carried out by an evaluation panel made up of authority staff and authorised representatives.
- 4.6.7 The response will enable the authority to form a clear view of the Supplier's technical and professional capacity. The responses in respect of each question must therefore be clear and concise. No reliance should be placed on information given to LBB previously or provided elsewhere in the SQ response.
- 4.6.8 During our evaluation of responses, Suppliers may be asked to answer clarification questions about their submissions and other matters related to their response. Suppliers must respond to such questions as quickly as possible but, in any event, within 2 working days or, if a deadline is specified, responses must be submitted by that deadline. Failure to respond to any LBB clarification questions, may result in LBB rejecting the Supplier's submission.

- 4.6.9 Suppliers are permitted to clarify the LBB's requirements in the SQ, and LBB may require a Supplier(s) to clarify or supplement the information it submits in its SQ, provided that to do so will not distort the competition.
- 4.6.10 Suppliers will be notified by email whether they have been successful or unsuccessful. The successful shortlisted Suppliers will be Invited to Tender via LBB's e-tendering portal.
- 4.6.11 Suppliers, both successful and unsuccessful, will have the opportunity to receive feedback regarding their application if requested.

#### **4.7 SQ Evaluation Criteria**

- 4.7.1 The SQ assessments are based on the question responses provided by the Suppliers to Sections 1, 2, 3, 4, 5, 6, 7, 8 and 9.
- 4.7.2 The evaluation of SQ responses received will be carried out by an evaluation panel made up of authorised representatives.
- 4.7.3 The selection criteria to be applied to the SQs are outlined in **Table A**.

**Table A – SQ Evaluation Criteria**

Qualitative Criteria	Weighting
Part 1 - Potential Supplier Information	
<b>Section 1.1 – Potential Supplier Information</b>	Information Only
<b>Section 1.2 – Bidding Model</b>	Information Only
<b>Section 1.3 – Declaration</b>	Pass/Fail
Part 2 – Exclusion Grounds	
<b>Section 2.1 – Grounds for Mandatory exclusion</b>	Pass/Fail
<b>Section 3 – Grounds for Discretionary Exclusion</b>	Pass/Fail
Part 3 – Selection Questions	
<b>Section 4 – Economic and Financial Standing</b>	Pass/Fail
<b>Section 5 – Parent Company</b>	Information Only
<b>Section 6 – Technical and Professional Ability</b>	Pass/Fail
<b>Section 7 – Modern Slavery Act</b>	Pass/Fail
<b>Section 8 – Additional Questions</b>	
<b>8.1 Insurance &amp; 8.2 Skills and Apprenticeships</b>	Pass/Fail
<b>8.3 Steel</b>	5%
<b>Section 9 Project Specific Questions</b>	
Equality & Human Rights	Pass/Fail
HSQE	Pass/Fail
Social Responsibility	Pass/Fail
HSQE Management	20%
Technical Capability	75%

**Table B – SQ Assessment and Scoring Principles (Sections 1 - 9)**

Question Heading	Minimum Requirements
<p>Section 1 Potential Supplier Information, Bidding Model and Contact Details and Declaration</p>	<p>Information Only – Supplier details, Bidding model and Contact Details and Declaration completed in full. Failure to complete in full may result in the authority requesting further information.</p>
<p>Section 2 Exclusion Grounds Grounds for Mandatory Exclusion</p>	<p>Pass – Section answered in full indicating No across all mandatory exclusion grounds. If you have indicated Yes, as a response explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion (evidence of Self Cleaning).</p> <p>Fail – An answer of Yes for any of the exclusionary grounds where no evidence has been provided to demonstrate the reliability of the organisation despite existence of a relevant ground for exclusion (no evidence of Self Cleaning).</p>
<p>Section 3 Grounds for Discretionary Exclusion</p>	<p>Pass – Section answered in full indicating No across all discretionary exclusion grounds. If you have indicated Yes as a response explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion (evidence of Self Cleaning).</p> <p>Fail - An answer of Yes for any of the discretionary grounds where no evidence has been provided to demonstrate the reliability of the organisation despite existence of a relevant ground for exclusion (no evidence of Self Cleaning).</p>
<p>Section 4 Economic and Financial Standing</p>	<p>Pass – Section answered in full providing evidence of economic standing as requested as either a, b or c.</p> <p>Fail – Section has not been completed in full.</p> <p>(A Company Watch report is used together with an LBB finance assessment of accounts.)</p>
<p>Section 5 Parent Company (If Applicable)</p>	<p>Information Only – Parent Company guarantee details completed in full. Failure to complete in full may result in the authority requesting further information.</p>
<p>Section 6 Technical and Professional Ability (Pass/Fail)</p>	<p>The written responses will be marked out of 5 (see Table C) for score levels). A score of 3 or above is deemed as a Pass. A score of 2 or below is deemed a fail.</p>

	<p>Pass – Those submissions receiving a score of 3 (Acceptable) or more will receive a pass mark.</p> <p>Fail - Those submissions receiving a score of less than 3 (Acceptable) will receive a fail mark.</p>
<p>Section 7 Modern Slavery Act (If Applicable)</p>	<p>Pass – Section should be answered indicating Yes to be a relevant commercial organisation under the Modern Slavery Act and stating compliance with reporting requirements or providing justification as to why not.</p> <p>Fail – Section has not been answered indicating Yes to be a relevant commercial organisation under Modern Slavery Act and No to compliance with reporting requirements with no suitable justification.</p>
<p>Section 8 Additional Questions Insurance - 8.1 (Pass/fail) Skills and Apprenticeships - 8.2 (Pass/Fail) Steel – 8.3 (Scored)</p>	<p>8.1 &amp; 8.2 are Pass/Fail Questions.</p> <p>A Pass for 8.1 is a supplier confirming if they have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated within question 8.1. A fail for 8.1 is where a supplier can not commit prior to the commencement of the contract, the levels of insurance cover indicated with question 8.1.</p> <p>A pass for 8.2 is a supplier confirming that they will be supporting apprenticeships and skills development throughout the contract in accordance with the Procurement Policy note 14/15. A fail for 8.2 is a supplier confirming that they will not be supporting apprenticeships and skills development throughout the contract in accordance with the Procurement Policy note 14/15.</p> <p>The written responses for 8.3 will be marked out of 5 (see <b>Table C</b>) for score levels).</p>
<p>Section 9 Project Specific Questions  Questions 9.1 to 9.8 (pass/fail) Questions 9.9 to 9.17 (scored)</p>	<p>Questions 9.1 &amp; 9.3</p> <p>Pass: The supplier demonstrates that they are compliant with the relevant legislative requirements.</p> <p>Fail: The supplier fails to demonstrate that they are compliant with the relevant legislative requirements.</p> <p>Questions 9.2 &amp; 9.7</p> <p>Pass: The supplier provides adequate detail that they have an effective process/processes in place to manage their supply chain regarding the matter detailed within the question.</p> <p>Fail: The supplier does not provide adequate detail that they have an effective process/processes in place to manage</p>



their supply chain regarding the matter detailed within the question.

**Question 9.4**

**Pass:** The supplier is able to demonstrate that they have not breached any HSE regulations and/or issued with an enforcement/remedial orders in relation to the HSE (or equivalent body) in the last 3 years. However, if they made such breaches, they have been able demonstrate effective remedial action or a change to a procedure to address the remedial order.

**Fail:** The supplier has demonstrated that they have breached HSE regulations and/or issued with an enforcement/remedial orders in relation to the HSE (or equivalent body) in the last 3 years and have failed to demonstrate that they made effective remedial action changes or a change to a procedure to address the remedial order.

**Question 9.5**

**Pass:** The supplier is able to demonstrate that they hold a valid Network Rail Principal contractor licence in accordance with NR/L2/INI/CP0070 (or if not is able to demonstrate that it will have one in place by the date of Contract award or is in a consortium with an organisation that has the necessary licence)

**Fail:** The supplier is not able to demonstrate that they hold a valid Network Rail Principal contractor licence in accordance with NR/L2/INI/CP0070 (or alternatively is not able to demonstrate that it will have one in place by the date of Contract award and is not in a consortium with an organisation that has the necessary licence)

**Question 9.6**

**Pass:** The supplier answers yes to sections a-d of the question.

**Fail:** The supplier answers no to one or more of sections a-d of the question.

**Question 9.8**



	<p>The written responses will be marked out of 5 (see Table C) for score levels). A score of 3 or above is deemed as a Pass. A score of 2 or below is deemed a fail.</p> <p>Questions 9.9 to 9.17 Will be marked out of 5 (see Table C) for score levels).</p>
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The scoring principles set out in **Table C** are to be used for the quality evaluation of the SQ submission (Sections 6, 8 and 9). The written responses will be marked out of 5 (for Sections 6,8,9) and a weighting applied to achieve the weighting stated in **Table A**. All SQs will be evaluated against the criteria set out in **Table B – SQ Assessment and Scoring Principles (Sections 1 - 9)**.

**Table C – SQ Scoring Principles (relevant aspects of Sections 6,8,9)**

Score Scoring Principles	
<b>0</b>	<b>Unacceptable</b> - Completely fails to meet requirements or does not provide a response.
<b>1</b>	<b>Very poor</b> - Response significantly fails to meet the requirements or respond to the question, contains significant shortcomings or is inconsistent with other elements of the response.
<b>2</b>	<b>Poor response</b> - Response falls short of achieving expected requirements or responding to the question in a number of identifiable respects.
<b>3</b>	<b>Acceptable</b> - Response meets the requirements and responds to the question in most material respects but is lacking or inconsistent in others.
<b>4</b>	<b>Very good</b> - Response meets the requirements and responds to the question in all material respects
<b>5</b>	<b>Excellent</b> - Response meets the requirements and responds to the question in all material respects and exceeds some or all of the requirements.

#### **4.8 SQ Moderation Session**

- 4.8.1 All SQs to be evaluated by a panel of LBB representatives. A minimum of two evaluators will mark each Project Specific question. Once all SQs are individually evaluated, a moderation meeting will be held to ensure fair and consistent marking across the SQs.

#### **4.9 Confidentiality, Records & Transparency**

- 4.9.1 LBB will provide a Confidentiality Agreement and you are required to sign and return this agreement via the Barnet sourcing portal prior to LBB granting you access to the data room and the additional confidential documents stored therein.
- 4.9.2 Suppliers must keep confidential and not disclose to any third party, save for the purpose of bidding as a Consortium, (without our prior written consent) this SQ, its associated documents and any information supplied by us to you and shall use the information only for the purpose of preparing, submitting Suppliers response. Suppliers shall not disclose, copy, reproduce, distribute, or pass it to any other person at any time except for the purpose of enabling a response to be made; all such persons shall have given an undertaking at the time of receipt to keep such information confidential. You must also ensure that all your subconsultants, employees and agents comply with these requirements. You shall also treat details of Suppliers response as confidential. You shall not disclose, other than to the person calling for the SQ (and in accordance with these Instructions) the contents of your submission.
- 4.9.3 Suppliers must not, either alone or jointly with others, publish any material relating to LBB, this SQ or the works without our prior written consent.
- 4.9.4 Suppliers must not, either alone or jointly with others, make any media announcements in connection with this SQ, the works, or any dispute arising under or in connection with this SQ response.
- 4.9.5 Sections 4.9.1, 4.9.2 and 4.9.3 above do not apply:
- a. To any information which is already in the public domain at the time of its disclosure other than by breach of these instructions; or
  - b. To any information which is required to be disclosed to the extent required by any applicable law, the regulations of any recognised stock exchange, any taxation authorities, or by order of a court or other tribunal of competent jurisdiction or any relevant regulatory body.
- 4.9.6 Suppliers must note the requirement for records set out in the SQ documentation and ensure that they retain all relevant material produced as part of this SQ process.

#### **4.10 Freedom of Information Act 2000 and Environmental Information Regulations 2004**

- 4.10.1 LBB is subject to the requirements of the Freedom of Information Act 2000 (the "Act") and the Environmental Information Regulations 2004 ("EIR"). Accordingly, all information submitted to it may need to be disclosed by LBB in response to a request under either the Act or the EIR (a "Request").
- 4.10.2 In making any submission during this procurement process, each Supplier acknowledges and accepts that information contained therein may be disclosed by LBB under the Act or EIR without consulting the Supplier, although LBB will endeavour to consult with the Supplier and consider its views before doing so.
- 4.10.3 If Suppliers consider that any information made available to LBB is commercially sensitive, they should identify it and explain (in broad terms) what harm may result from disclosure, and the time period applicable to that sensitivity. Even where information made available to LBB is marked commercially sensitive, LBB shall be entitled (acting in its sole discretion) to disclose it pursuant to a Request. Please also note that information marked "confidential" or equivalent by Suppliers does not bind LBB to any duty of confidence by virtue of that marking.
- 4.10.4 Exemptions to disclosure pursuant to a Request do exist and LBB reserves the right to determine (acting in its sole discretion) whether there is any available exemption and whether to disclose any information made available to it by Suppliers pursuant to any Request. If you are unsure as to LBB's obligations under the Act or EIR regarding the disclosure of sensitive information, please seek independent legal advice.

#### **4.11 Equality and Diversity**

- 4.11.1 LBB is committed to proactively encouraging diverse Suppliers to participate in its procurement processes for goods, works and services. It will provide a level playing field of opportunities for all organisations including Small and Medium Enterprises and Black, Asian and Minority Ethnic businesses and other diverse Suppliers. Consistent with its obligations as a Best Value authority and in compliance with EU and UK legislation, LBB's procurement process will be transparent, objective and non-discriminatory in the selection of its Suppliers. LBB will actively promote diverse Suppliers throughout its supply chains. LBB expects that the Supplier will have in place and will implement policies to promote these principles.

#### **4.12 Social Value**

- 4.12.1 LBB envisages that the Supplier will pro-actively support social value delivery (responsible procurement). Examples of social value opportunities are identified below, but this is not an exhaustive list:

- Up skilling staff

- Offering Apprenticeships
- Local employment opportunities
- Volunteers
- Additional Services
- Educational visits
- Offering curriculum support to schools
- Creating Supply Chain opportunities
- Improving environment, landscape
- Donations to charity
- Local businesses incorporated into supply chain
- Creating skills and training opportunities
- Offering work placements to school children and young adults
- Community engagement
- Targeting hard to reach groups
- Core Labour Standards
- Carbon Reduction.

4.12.2 Within its obligations as a Best Value authority, and in compliance with EU and UK legislation, LBB will adopt the principles of 'Reduce, Reuse, Recycle' and 'Buy Recycled'. LBB endorses delivery of social value principles in its procurement of goods, works and services, where the required criteria for performance and cost effectiveness can be met. LBB will actively promote social value throughout its supply chain.

#### 4.13 **Conflict of Interest**

4.13.1 LBB requires all actual or potential conflicts of interest to be declared and resolved to LBB's satisfaction prior to the delivery of the Supplier SQ submission. If any conflict of interest or potential conflict of interest between a Supplier, its advisers, LBB's advisers or any combination thereof becomes apparent to that Supplier, it shall inform LBB immediately. In such circumstances, LBB shall, at its absolute discretion, decide on the appropriate course of action. Failure to declare such conflicts (including new conflicts which may arise during the procurement process) and/or failure to address such conflicts to the reasonable satisfaction of LBB, could result in a Supplier being disqualified at the sole discretion of LBB.

#### 4.14 **Canvassing and Non-Collusion**

4.14.1 LBB reserves the right to disqualify (without prejudice to any other civil remedies available to LBB and without prejudice to any criminal liability which such conduct by a Supplier or Consortium Member (as the case maybe) may attract) any Supplier or Consortium Member who (or its directors or any other person who has powers of representation, decision or control of the Supplier or Consortium Member), in connection with this SQ:

- Offers any inducement, fee or reward to any member or officer of LBB or any person acting as an adviser for LBB in connection with this SQ;
- Does anything which would constitute the offence of within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906, where the offence relates to active corruption;
- Does anything which would constitute the offence of bribery, where the offence relates to active corruption;
- Does anything which would constitute bribery within the meaning of section 1 or 6 of the Bribery Act 2010;
- Canvasses any member or officer of LBB or any person acting as an adviser for LBB in connection with this SQ;
- Contacts any officer of LBB prior to financial close about any aspect of the SQ, initial tenders or procurement process in a manner not permitted by this SQ (including without limitation contact for the purposes of discussing the possible transfer to the employment of the Supplier of such officer);
- Fixes or adjusts the amount of his Bid by or in accordance with any agreement or arrangement with any other Supplier or Consortium Member of any other Supplier (other than its own Consortium Members or supply chain);
- Enters into any agreement or arrangement with any other Supplier (or Consortium Member of any other Supplier) to the effect that it shall refrain from making a Bid or as to the amount of any Bid to be submitted;



- Causes or induces any person to enter such agreement or to inform the Supplier (or a Consortium Member of the Supplier) of the amount or approximate amount of any rival Bid;
- Canvasses any person connected with this SQ who is not one of its own Consortium Members or one of its own team;
- Offers or agrees to pay or give or does pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other Bid (or proposed Bid) any act or omission;
- Communicates to any person other than LBB the amount or approximate amount of his proposed Bid (except where such disclosure is made in confidence in order to obtain quotations necessary for the preparation of a Bid);
- Enters into any agreement with any other Supplier (or a Consortium Member of any other Supplier) aimed at distorting the outcome of the competition;
- Undertakes to unduly influence the decision-making process of LBB; or
- Undertakes to obtain confidential information that could confer upon an undue advantage in the award of the contract.
- Suppliers will be required to complete and submit certificates of non-collusion and non-canvassing at the Initial Tender submission stage and also the Final Tender submission stage.

#### **4.15 Accuracy of Information**

4.15.1 In submitting a response to this SQ, each Supplier undertakes that:

- All information contained in any response at any time provided to LBB in relation is true, accurate and not misleading and that all opinions stated in any part of a response are honestly held and that there are reasonable grounds for holding such opinions; and
- Any matter that arises that renders any of such information untrue, inaccurate or misleading will be brought to the attention of LBB immediately.

#### **4.16 Intellectual Property Rights**

- 4.16.1 This SQ (and all Procurement Documents) may not be reproduced, copied or stored in any medium without the prior written consent of LBB except in relation to the preparation of a Bid.
- 4.16.2 All documentation supplied by LBB in relation to this SQ (and all Procurement Documents) is and shall remain the property of LBB and must be returned on demand, without any copies being retained. Suppliers are not authorised to copy, reproduce, or distribute the information in the Procurement Documents at any time except as is necessary to produce a Bid.

#### **4.17 Publicity**

- 4.17.1 Suppliers shall not undertake (or permit to be undertaken) at any time, whether at this stage or after financial close, any publicity activity with any section of the media in relation to the Project other than with the prior written agreement of LBB. Such agreement shall extend to the content of any publicity. In this paragraph the word "media" includes (but without limitation) radio, television, newspapers, trade and specialist press, the internet and email accessible by the public at large and the representatives of such media.



#### **4.18 Changes in Circumstances**

4.18.1 Each Supplier (including, for this purpose, each Supplier in any consortium arrangement) is required to inform LBB promptly and in any case no later than fourteen (14) days, after the occurrence of:

- Any change to its corporate structure from that set out in its response to the SQ. This includes the grant of any options to acquire shares, any agreement relating to the exercise of rights attaching to such shares, and any material amendments to a shareholders' agreement, articles of association or similar constitutional documents;
- Any changes to any other information provided to LBB as part of the SQ process; or
- Any other change to its circumstances, or the basis of its response to the SQ, which may be expected to influence LBB's decision on its suitability for shortlisting to SQ.

4.18.2 LBB reserves the right to approve (subject to conditions) or reject the changes referred to above. A rejection of the changes may result in the Supplier being excluded from further participation in the procurement process. LBB reserves the right and may in certain cases be required under the procurement rules, to disqualify any Supplier that has been shortlisted to ITT where the composition of the Supplier's Consortium has changed after the submission of their SQ.

#### **4.19 Bid Costs**

4.19.1 LBB will not be liable to any person for any costs whatsoever incurred in the preparation of their SQ responses.

#### **4.20 Disclaimer**

- 4.20.1 Neither the receipt of this document by any person, nor the supply of any information is to be taken as constituting the giving of investment advice by LBB or any of its advisers to any Supplier.
- 4.20.2 Information provided does not purport to be comprehensive or verified by LBB or its advisers. Neither LBB nor its advisers accept any liability or responsibility for the adequacy, accuracy or completeness of any of the information or opinions stated in the SQ documents.
- 4.20.3 No representation or warranty, express or implied, is or will be given by LBB or any of its officers, employees, servants, agents or advisers with respect to the information or opinions contained in the MOI/SQ documentation, or in any subsequent communications.
- 4.20.4 Any liability in respect of such representations or warranties, howsoever arising, is hereby expressly disclaimed but nothing in this MOI/SQ shall exclude or restrict liability for fraudulent misrepresentations.
- 4.20.5 No information in this document is, or should be relied upon as, an undertaking or representation as to LBB's ultimate decision in relation to undertaking the works.
- 4.20.6 LBB reserves the right without prior notice to change the procurement process or to amend the information provided, including, but not limited to, changing the timetable, the scope and nature of the procurement and the procurement process. LBB reserves the right to issue circulars to Suppliers providing further information or supplementing and/or amending the procurement process for this SQ.
- 4.20.7 In no circumstances shall LBB incur any liability in respect of any changes. This will be subject to the requirements of public law, the UK and EU procurement rules and EU Treaty rules and general principles.
- 4.20.8 Direct or indirect canvassing of the Mayor, any members of the Greater London Authority, employees, directors, board members, agents and advisers of LBB and any of its subsidiaries by any person concerning the Contract or any related procurement process and any attempt to procure information from any of the foregoing concerning the Contract may result in the disqualification of the person and/or the relevant organisation from consideration for the Contract.
- 4.20.9 LBB reserves the right without prior notice not to follow up this document in any way and/or to terminate the procurement process without awarding an Agreement at any time.
- 4.20.10 LBB reserves the right not to negotiate and to award the Contract on the basis of the initial tenders submitted.

## 5. Invitation to Tender (ITT) Stage

### 5.1 General

5.1.1 As referred to in section 3.3 of this document, a finalised ITT will be issued to shortlisted Suppliers following the completion of the SQ stage.

### 5.2 Summary of the Content of the ITT

5.2.1 As an indication of the information to be provided to the potential suppliers at ITT stage, The ITT documentation would include (subject to confirmation):

- Specific and finalised details of all method statements and other quality submissions required;
- Completed GRIP 4 Design drawings for the station
- The Asset Protection Requirements
- Planning Permission Requirements
- Specific and finalised details of all pricing submissions required;
- The detailed terms and conditions of a draft Contract (NEC3 ECC Option C, with z-clause and x-clause amendments);
- The ITT evaluation criteria and evaluation methodology

### 5.3 Expected ITT Deliverables

5.3.1 As an indication of the contents of the Supplier submission within the ITT response, LBB expects the following information to be included but not limited to:

- All requested method statements in response to specifically phrased technical questions as well as fully completed responses to all questions
- Confirmation that the draft Contract is fully accepted, or alternatively a mark-up of the same with a table of justifications that explain each change made;
- A fully completed pricing document in accordance with the template set out in the ITT.

5.3.2 Specific details of the above will be made available in the ITT. LBB reserves the right to amend the information referred to in paragraph 5.3.1 at all times up to the publication of the ITT.

## 5.4 Tender Evaluation Criteria

5.4.1 The detailed tender award and evaluation criteria will be made available to Suppliers who are selected for the ITT Stage. LBB can confirm now that it expects the following:

- That the tender stage scoring criteria weighting will be 60% Technical and 40% Commercial.
- There will be a clearly stated objective requirement for each method statement to be submitted, and LBB will award a score reflecting its view of the extent to which the Supplier has met the relevant requirements;
- The method statements are likely to be weighted to reflect the relative importance of each response to LBB;
- A detailed pricing document and methodology under which the lowest priced compliant tender will score full marks, with other tenders scoring less based on the price differential from such lowest priced compliant tender.
- Specific details of the above will be made available in the ITT.

## Appendix A: Selection Questionnaire Questions

### **Brent Cross West Station Competitive Procedure with Negotiation**

#### **Notes for completion**

The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.

“They” / “Suppliers” refers to the potential Supplier completing this standard SQ i.e. the legal entity responsible for the information provided. The term “potential Supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.

Completion and submission of the online SQ is mandatory for all bids to be compliant. Please ensure that all questions are completed in full and submitted to [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk). If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.

The authority recognises that arrangements set out in section 1.2 of the standard SQ, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.

For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.

*All sub-contractors are required to complete Part 1 and Part 24.*

For answers to Part 3 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

The authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

## Part 1: Potential Supplier Information

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

Section 1		Potential Supplier information	
Question number	Question	Response	
1.1(a)	Full name of the potential Supplier submitting the information		
1.1(b) – (i)	Registered office address (if applicable)		
1.1(b) – (ii)	Registered website address (if applicable)		
1.1(c)	Trading status a) public limited company b) limited company c) limited liability partnership d) other partnership e) sole trader f) third sector g) other (please specify Suppliers trading status)		
1.1(d)	Date of registration in country of origin		
1.1(e)	Company registration number (if applicable)		
1.1(f)	Charity registration number (if applicable)		
1.1(g)	Head office DUNS number (if applicable)		
1.1(h)	Registered VAT number		
1.1(i) - (i)	If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
1.1(i) - (ii)	If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s).		



1.1(j) - (i)	Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(j) - (ii)	If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this.	
1.1(k)	Trading name(s) that will be used if successful in this procurement	
1.1(l)	Relevant classifications (state whether you fall within one of these, and if so which one) a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop c) Public service mutual	
1.1(m)	Are you a Small, Medium or Micro Enterprise (SME)?	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(n)	Details of Persons of Significant Control (PSC), where appropriate: - Name; - Date of birth; - Nationality; - Country, state or part of the UK where the PSC usually lives; - Service address; - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used); - Which conditions for being a PSC are met; - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more. 7 (Please enter N/A if not applicable)	
1.1(o)	Details of immediate parent company:	



	<ul style="list-style-type: none"> <li>- Full name of the immediate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> (Please enter N/A if not applicable)	
1.1(p)	Details of ultimate parent company: <ul style="list-style-type: none"> <li>- Full name of the ultimate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> (Please enter N/A if not applicable)	

A criminal record check for relevant convictions may be undertaken for the preferred Suppliers and the persons of significant in control of them.

Section 1		Bidding model
Question number	Question	Response
1.2(a) - (i)	Are you bidding as the lead contact for a group of economic operators?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3. If no, and you are a supporting Supplier please provide the name of Suppliers group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3.
1.2(a) - (ii)	Name of group of economic operators (if applicable)	

1.2(a) - (iii)	Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure.					
1.2(b) - (i)	Are you or, if applicable, the group of economic operators proposing to use sub-contractors?	Yes <input type="checkbox"/> No <input type="checkbox"/>				
1.2(b) - (ii)	If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor in the following table: LBB may ask them to complete this form as well.					
Name						
Registered Address						
Trading Status						
Company Registration Number						
Head Office DUNS Number (if applicable)						
Registered VAT Number						
Type of Organisation						
SME (Yes/No)						
The role each sub-contractor will take in providing the works and / or Supplier e.g. key deliverables						
The approximate % of contractual obligations assigned to each sub-contractor						

### Contact details and declaration

I declare that to the best of my knowledge the answer submitted, and information contained in this document are correct and accurate.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

I understand that the information will be used in the selection process to assess my organisation's suitability to be invited to participate further in this procurement.

I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

Section 1	Contact details and declaration	
Question number	Question	Response
1.3(a)	Contact name	
1.3(b)	Name of organisation	
1.3(c)	Role in organisation	
1.3(d)	Phone number	
1.3(e)	E-mail address	
1.3(f)	Postal address	
1.3(g)	Signature (electronic is acceptable)	
1.3(h)	Date	

## Part 2 – Exclusion Grounds

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

Section 2		Grounds for mandatory exclusion
Question number	Question	Response
2.1(a)	<p><b>Regulations 57(1) and (2)</b></p> <p>The detailed grounds for mandatory exclusion of an organisation are set out on this webpage, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the webpage.</p>	
	Participation in a criminal organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 2.1(b)
	Corruption.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 2.1(b)
	Fraud.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 2.1(b)
	Terrorist offences or offences linked to terrorist activities	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 2.1(b)
	Money laundering or terrorist financing	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 2.1(b)

	Child labour and other forms of trafficking in human beings	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 2.1(b)
2.1(b)	<p>If you have answered yes to question 2.1(a), please provide further details.</p> <p>Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,</p> <p>Identity of who has been convicted</p> <p>If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.</p>	
2.2	If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.3(a)	<p><b>Regulation 57(3)</b></p> <p>Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?</p>	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.3(b)	If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.	

The authority reserves the right to use its discretion to exclude a potential Supplier where it can demonstrate by any appropriate means that the potential Supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

Section 3		Grounds for discretionary exclusion
	Question	Response
3.1	<p><b>Regulation 57 (8)</b></p> <p>The detailed grounds for discretionary exclusion of an organisation are set out on this answered, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p>	
3.1(a)	Breach of environmental obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1 (b)	Breach of social obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1 (c)	Breach of labour law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(d)	Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended, or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(e)	Guilty of grave professional misconduct?	Yes <input type="checkbox"/> No <input type="checkbox"/>



		If Yes, please provide details at 3.2
3.1(f)	Entered into agreements with other economic operators aimed at distorting competition?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(g)	Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(h)	Been involved in the preparation of the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(i)	Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(j)	Please answer the following statements	
3.1(j) - (i)	The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(j) - (ii)	The organisation has withheld such information.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(j) –(iii)	The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details at 3.2
3.1(j)-(iv)	The organisation has influenced the decision-making process of the contracting authority to	Yes <input type="checkbox"/>



<p>obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.</p>	<p>No <input type="checkbox"/></p> <p>If Yes, please provide details at 3.2</p>
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3.2	<p>If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?</p>	
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### Part 3: Selection Questions

Please answer the following questions in full but also abiding by all limitations set out by LBB such as page limits and word counts.

Section 4	Economic and Financial Standing	
	Question	Response
4.1	<p>Are you able to provide a copy of Suppliers audited accounts for the last two years, if requested?</p> <p>If no, can you provide <b>one</b> of the following: answer with Y/N in the relevant box.</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	<p>(a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation.</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	<p>(b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
	<p>(c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

4.2	Where LBB have specified a minimum level of economic and financial standing and/ or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering 'Yes' or 'No' that you meet the requirements set out.	Yes <input type="checkbox"/> No <input type="checkbox"/>
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Section 5	If you have indicated in the SQ question 1.2 that you are part of a wider group, please provide further details below:
Name of organisation	
Relationship to the Supplier completing these questions	

5.1	Are you able to provide parent company accounts if requested to at a later stage?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.2	If yes, would the parent company be willing to provide a guarantee if necessary?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.3	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Section 6 Technical and Professional Ability (Pass or Fail Question)			
<b>6.1</b>	<p><b>Relevant experience and contract examples</b></p> <p>Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) <b>that are relevant to our requirement</b>. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years. The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below. Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed, or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member). Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.</p> <p>If you cannot provide examples, see question 6.3.</p>		
	Contract 1	Contract 2	Contract 3
Name of customer organisation			
Point of contact in the organisation			
Position in the organisation			
E-mail address			
Description of contract	2x A4 (including diagrams and images)	2x A4 (including diagrams and images)	2x A4 (including diagrams and images)
Contract Start date			
Contract completion date			
Estimated contract value			

<p><b>6.2</b></p>	<p>Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).</p> <p>Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries).</p>
	<p>2 x A4 (including diagrams and images)</p>

<p><b>6.3</b></p>	<p>If you cannot provide at least one example for questions 6.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up, or you have provided services in the past but not under a contract.</p>

<b>Section 7</b>		<b>Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015 (Pass or Fail Question)</b>	
7.1	Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
7.2	If you have answered yes to question 7.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?	Yes <input type="checkbox"/>	Please provide the relevant URL to view the statement ... No <input type="checkbox"/> Please provide an explanation

### Additional Questions

Please answer the following questions in full but also abiding by all limitations set out by LBB such as page limits and word counts.

Suppliers who self-certify that they meet the requirements to these additional questions will be required to provide evidence of this if they are successful at contract award stage.

<b>Section 8</b>		<b>Additional Questions</b>	
<b>8.1</b>		<b>Insurance (Pass or Fail Question)</b>	
a.	<p>Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:</p> <p>Contractor's All-Risks: full reinstatement value of the Works (Y/N)</p> <p>Employer's (Compulsory) Liability Insurance = £10m (Y/N)</p> <p>Public Liability Insurance = £155m (Y/N)</p> <p>Professional Indemnity Insurance = £10m (Y/N)</p>		

<b>8.2</b>		<b>Skills and Apprentices – (please refer to Supplier selection guidance) (Pass or Fail Question)</b>	
a.	Public procurement of contracts with a full life value of £10 million and above and duration of 12 months and above should be used to support skills development and delivery of the apprenticeship commitment. This policy is set out in detail in Procurement Policy Note 14/15. Please confirm if you will be	Yes <input type="checkbox"/>	No <input type="checkbox"/>

	supporting apprenticeships and skills development through this contract.	
<b>b.</b>	If yes, can you provide at a later stage documentary evidence to support your commitment to developing and investing in skills, development and apprenticeships to build a more skilled and productive workforce and reducing the risks of supply constraints and increasing labour cost inflation?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>c.</b>	Do you have a process in place to ensure that your supply chain supports skills, development and apprenticeships in line with PPN 14/15 (see guidance) and can provide evidence if requested?	Yes <input type="checkbox"/> No <input type="checkbox"/>

<b>8.3</b>	<b>Steel (Scored Question – Grouped 5% Overall Weighting)</b>	
<b>a.</b>	Please describe the supply chain management systems, policies, standards and procedures you currently have in place to ensure robust supply chain management.	
	1x A4 (Including diagrams and images) (2%)	
<b>b.</b>	Please provide details of previous similar projects where you have demonstrated a high level of competency and effectiveness in managing of all supply chain members involved in steel supply or production so that there was a sustainable and safe supply of steel.	
	1x A4 (including diagrams and images) (2%)	
<b>c.</b>	Please provide all the relevant details of previous breaches of health and safety legislation in the last 5 years, applicable to the country in which you operate, on comparable projects, for both:  (i) Suppliers company  (ii) All Suppliers supply chain members involved in the production or supply of steel.	
	1x A4 (including diagrams and images) (1%)	



## Project Specific Questions

Suppliers who self-certify that they meet the requirements to these project specific questions will be required to provide evidence of this if they are successful at contract award stage.

For all written response questions in this section, if the supplier's answer for the question is covered/partially covered in another question then the supplier is required to duplicate the relevant information. No answer can cross reference to details that the supplier answers in a different question. This is to enable the evaluators to score each individual on its own merits.

9.1	Compliance with Equality Legislation (Pass or Fail Question) <i>For organisations working outside of the UK, refer to equivalent legislation in the country you are located</i>	
	In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or comparable body in the jurisdiction other than the UK) on the grounds of alleged unlawful discrimination?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please answer question 9.1.1

9.1.1	Compliance with Equality Legislation (Pass or Fail Question) Provide details here of any complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or comparable body in the jurisdiction other than the UK) on the grounds of alleged unlawful discrimination and give details of any remedial action or changes to procedures you have made as a result.	

9.2	Equality and Human Rights (Pass or Fail Question) Supply Chain Management	
	Do you have processes in place to ensure your supply chain meet the requirements set out in question 9.1 and 9.1.1?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details on the process (maximum) word count – 500

9.3	HSQE (Pass or Fail Question) Legislative Requirements	
	Confirm that your organisation has a health and safety policy that meets legislative requirements.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, Provide details below of the policy. (Maximum word Count-500)

9.4	HSQE (Pass or Fail Question) Health & Safety Executive	
	Has your organisation or any of its Directors or Executive Officers been in breach of any HSE regulations and/or issued with an enforcement/remedial orders in relation the Health & Safety Executive (or equivalent body) in the last 3 years?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please answer question 9.4.1

LBB will exclude Supplier(s) that have been in receipt of enforcement/remedial action orders unless the Supplier(s) can demonstrate to LBB's satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.

9.4.1	HSQE Health & Safety Executive (Pass or Fail Question) Provide details here of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result.
9.5	HSQE (Pass or Fail Question) Network Rail Principal Contractor Licence
Do you hold a valid Network Rail Principal Contractor Licence in accordance with NR/L2/INI/CP0070 (or if not can you demonstrate that you will have one in place by the date of Contract award or are in a consortium with an organisation that has the necessary licence)?	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details below: (Licence number, Full or Temporary licence, valid to and from dates or if not, an explanation of how you will have one in place by Contract award)

9.6	HSQE (Pass or Fail Questions) Certifications	
a.	Has your organisation, within the 2 years, successfully completed a qualification application undertaken by an assessment provider able to demonstrate that its information gathering process is equivalent to that of PAS 91?	Yes <input type="checkbox"/> No <input type="checkbox"/>
b.	Does your organisation hold a certificate of compliance with BS OHSAS 45001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services? To that standard, e.g. accredited by UKAS.	Yes <input type="checkbox"/> No <input type="checkbox"/>
c.	Does your organisation hold ISO 14001 certification, or will they have the certification in place by August 2019?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Does your organisation hold BS EN ISO 9001 certification?	Yes <input type="checkbox"/>

		No <input type="checkbox"/>
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9.7	HSQE (Pass or Fail Question) Supply Chain Management	
	Do you have processes in place to ensure your supply chain meet the requirements set out in questions above (9.3,9.4,9.4.1)?	Yes <input type="checkbox"/> No <input type="checkbox"/>

9.8	Social Responsibility (Pass or Fail Question) Provide 1 project example within the last 3 years, where your organisation has demonstrated tangible and effective social responsibility values throughout project delivery. Please refer to section 4.12 of the MOI for examples of best practice. (Maximum word count – 500)

9.9	HSQE Management – HSQE Policy (Scored Question 20% Overall Weighting) Please provide information that demonstrates you have a robust HSQE policies and procedures and provide examples how it has been implemented. The HSQE policies and procedures should align to Network Rail HSQE standards. It must set out responsibilities for HSQE management at all levels in the organisation. Please
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	<p>include references to behavioural safety and leadership specific to our requirements.</p> <p>(Maximum word count – 1000, Reference documents can be attached in addition)</p>

9.10	<p>Technical Capability – GRIP 5-8 (Scored Question 25% Overall Weighting)</p> <p>Provide 1 example of GRIP 5-8 design, construction, handover and EIS (Entry into Service) experience of delivering rail multi-discipline infrastructure projects (relevant to BXW requirements) within the last 5 years. Within your answer please provide the following: Name of customer/client organisation, key interfaces and stakeholders, description of scope of works that you were responsible for delivering, contract start/end, estimated contract value, highlighting any key challenges and solutions provided.</p> <p>(Maximum word count – 2000 per example)</p>

9.11	<p>Technical Capability - GRIP Design and Subcontractors (Scored question 15% Overall weighting)</p> <p>Provide 2 examples of rail multi-discipline infrastructure projects (relevant to BXW requirements) delivered in the last 5 years demonstrating where you have successfully managed complex integrated design, incorporating any specialist sub-contractors, to deliver a fully co-ordinated GRIP 5 design.</p> <p>Provide any value engineering examples and details of progressive assurance processes that were implemented on the project as well as any best practices.</p> <p>(Maximum word count – 1000 per example)</p>
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9.12	<p><b>Technical Capability – CDM (Scored Question 6% overall weighting)</b></p> <p>Construction Design Management and Delivery – Provide 1 project example (relevant to BXW requirements) delivered in the last 5 years demonstrating specific capability in designing, delivering and managing works within CDM arrangements. Within your summary please provide details of your specific CDM role and key challenging interfaces that had to be managed, including any examples of best practices.</p> <p>(Maximum word count – 1000 total)</p>
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9.13	<p><b>Technical Capability – Possessions (Scored Question 8% overall weighting)</b></p> <p>Capability of Delivery in Network Rail possessions - Provide 2 examples of station / civils infrastructure projects (relevant to the BXW requirements) delivered in the last 5 years, demonstrating specific capability in delivering and managing works within complex Network Rail possessions and/or blockades.</p> <p>(Maximum word count – 500 per example)</p>
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9.14	<p><b>Technical Capability – Operational Rail Environment (Scored Question 6% overall weighting)</b></p> <p>Capability of Delivery within an operational rail environment – Provide 1 example of where you have planned and delivered works in line with the ALO procedure in the last 5 years. Provide details of how you managed the risks associated with working in an ALO working environment.</p>
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	(Maximum word count – 500 per example)

9.15	<p>Technical Capability – Collaboration with 3<sup>rd</sup> parties (Scored Question 5% overall weighting)</p> <p>Provide 1 example in the last 5 years of managing and delivering works on Network Rail infrastructure but working for and/or in collaboration with 3rd party organisations such as developers or local authorities. Demonstrating your multiple stakeholder management capability</p> <p>(Maximum word count – 500 per example)</p>

9.16	<p>Technical Capability – CSM (Scored Question 5% overall weighting)</p> <p>Provide 1 example where you successfully managed the CSM regulations to the satisfaction of the Notifiable Body.</p> <p>(Maximum word count – 500)</p>

9.17	<p>Technical Capability - NEC 3 Option C (Scored Question 5% overall weighting)</p> <p>Provide an examples of rail multi-discipline infrastructure project delivered in the last 5 years under the NEC 3, Option C contract. In your answers include details of the outcome (If you cannot provide an example, please indicate accordingly. You may provide another relevant example only if it demonstrates engagement under very similar contractual terms)</p> <p>(Maximum word count – 500)</p>
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### Declaration and Signature

10	I declare that to the best of my knowledge the answers submitted in this SQ are correct. I understand that the information will be used in the process to assess my organisation's suitability to be invited to tender for the LBB's requirement and I am signing on behalf of my organisation. I understand that the LBB may reject this SQ if there is a failure to answers all relevant questions fully or if I provide false/misleading information	
	Form Completed By	
10.1	Name:	
10.2	Date:	
10.3	Signature:	



London Borough of Barnet  
Brent Cross West Station Detailed Design and  
Construction (GRIP 5-8)

Invitation to Tender

Contract ref 701864

Issue 01



## Abbreviations

AR	Argent Related
BXC	Brent Cross Cricklewood
BXS	Brent Cross South
BXS LP	A joint venture between AR and LBB responsible for BXS
BXT	Brent Cross Thameslink
BXW	Brent Cross West
CDM	Construction Design Management Regulations 2015
CPN	Competitive Procedure with Negotiation
CSM	Common Safety Method
EIR	Environmental Information Regulations
GRIP	Governance Railway Infrastructure Projects
HSE	Health and Safety Executive
ITT	Invitation to Tender
LBB	London Borough of Barnet, "The Council"
MEP	Mechanical, Electrical and Plumbing
MEAT	Most Economically Advantageous Tender
MOI	Memorandum of Information
NEC3 ECC	New Engineering Contract, 3 <sup>rd</sup> Edition, Engineering and Construction Contract
NR	Network Rail
OJEU	Official Journal of the European Union
OLE	Overhead Line Equipment
PCR	Public Contract Regulations
PPS	Possession Planning System
SME	Small and Medium-Sized Enterprises
SQ	Selection Questionnaire
TOC	Train Operating Company

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## 1. Background and Purpose of this Document

### 1.1 Background

1.1.1 The BXC regeneration programme is LBB's most significant growth and regeneration programme, identified in the London Plan as a key opportunity area with the potential to become a new and much needed economic centre for the capital, capable of supporting regional housing, shopping, employment, living and leisure.

1.1.2 The comprehensive regeneration programme is dependent on the delivery of the new Brent Cross West station (BXW) as part of the wider Brent Cross Thameslink (BXT) programme which is critical to delivery of the BXC regeneration programme. The station is due to open in May 2022 with eight trains per hour and will see two million journeys in the first year, rising to five million on completion of the BXC development in 2031.

1.1.3 To deliver the Brent Cross West (BXW) project, the Council is seeking a partner with:

- Extensive experience of design, build and handover into operational use of multidisciplinary railway infrastructure projects;
- A track record of successful delivery to the public sector, working in partnership with Network Rail and other parties;
- Commitment to provide social value by supporting the local community and economy

## 1.2 Purpose of this Document

- 1.2.1 Following the selection questionnaire for the Brent Cross West (BXW) Station Detailed Design and Construction submitted by your organisation on the 4<sup>th</sup> March 2019 and subsequently evaluated by LBB, your organisation was notified that you would be invited to submit a tender for the delivery of the Brent Cross West Station (BXW) Detailed Design, Construction, Testing, Commissioning and Handover (GRIP stages 5-8). The ITT has been released to shortlisted Suppliers from LBB's procurement portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk).
- 1.2.2 This ITT document is provided to ensure invited Suppliers fully understand the requirements of the process for this procurement process.
- 1.2.3 This ITT has been developed to set out the key steps in this procurement to achieve the selection of a Supplier as per OJEU Notice 2018/S 207-471593 (Corrigendum Notice 2019/S 030-066280).
- 1.2.4 This document provides the relevant information in respect of and outlines the procedure regarding this procurement exercise, and in particular:
  - 1.2.4.1 Summarises the background and nature of this procurement exercise; including information on LBB's approach to the Competitive Procedure with Negotiation (CPN) process.
  - 1.2.4.2 Provides guidance in relation to the content of this Invitation to Tender documentation.
  - 1.2.4.3 Sets out the deliverables required from Suppliers for the Tender responses.
  - 1.2.4.4 Sets out the Council's Requirements (see Section 2).
  - 1.2.4.5 Sets out the evaluation criteria that LBB will use to assess Suppliers' Tender responses.
- 1.2.5 This procurement process is to be conducted as a CPN process under the Public Contract Regulations (PCR) 2015.
- 1.2.6 The contract shall be awarded on the sole basis of the most economically advantageous tender (MEAT) in accordance with Regulation 67 of the PCR 2015.
- 1.2.7 At the conclusion of this procurement process, the successful Supplier will be required to enter into the Contract.



- 1.2.8 All Tender submission documents must be correctly completed and uploaded to Viewpoint Data Room and LBB's portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk), no later than 12.00 noon Friday 24 May 2019. The documents to be submitted are defined in the tender submission checklist, the full set of which must be uploaded to Viewpoint. In addition to this, Suppliers are required to upload both on Viewpoint and LBB's procurement portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk), an executive summary statement (limited to two sides of A4) for the submission together with a tender submission checklist to verify that all required documents have been submitted. The legal compliance forms defined in section 3.12.6.6 should also be uploaded to LBB's portal.
- 1.2.9 LBB is utilising Viewpoint for ITT tender submissions due to document size and data room capability of Viewpoint. All clarifications must be raised through LBB's procurement portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk)
- 1.2.10 LBB reserves the right to terminate the process and when appropriate, re-advertise the requirement for the services in the event that an insufficient number of affordable, compliant and acceptable Tender submissions are received to ensure best value and/or genuine competition.
- 1.2.11 Each Supplier's returned Tender must be supplied in the format stated. LBB reserves the right to disqualify a non-compliant submission format.

## 2. Council's Requirements

The "Council's Requirements" as referred to throughout the evaluation criteria are summarised in this section 2. These comprise the following overarching objectives (Section A) together with the more detailed (section B) requirements:

### 2.1 Section A

- 2.1.1 Delivering a new railway station on the Midland Main Line by May 2022. This would include taking responsibility for the GRIP 4 design, completing the Detail Design, Construction and Handover (GRIP 5 to 8) of the new BXW Station in accordance with the Works Information and Site Information;
- 2.1.2 Ensuring that in the process of delivering this project, robust procedures are in place to ensure there is no harm caused to any assets or persons;
- 2.1.3 Adhering to all planning and environmental conditions set out within the Works Information and pre-commencement conditions, minimising any adverse impact on the local community, businesses and adjoining and interfacing projects;
- 2.1.4 Recognising that this project forms part of the Council's wider regeneration programme, which is dependent on the delivery of this project and that there are a number of key stakeholders including but not limited to the development partner for the Brent Cross South Development, local residents and a number of interfaces which must be managed.
- 2.1.5 Upholding the Council's vision and values at all times, putting its community first. Further detail included in Barnet 2024 plan that can be accessed via the hyperlink below:

[https://www.barnet.gov.uk/sites/default/files/corporate\\_plan\\_-\\_barnet\\_2024.pdf](https://www.barnet.gov.uk/sites/default/files/corporate_plan_-_barnet_2024.pdf)

## 2.2 Section B

The requirements which are contained within:

- 2.2.1 The Tender documentation (This instruction document and attached appendices, The Invitation to Tender letter and the Pricing Document Template) (accessible on both Barnet procurement portal and Viewpoint)
- 2.2.2 The draft NEC3 ECC Contract – Option C with Z-clauses and X-clauses (the "Contract") (accessible on Viewpoint)
- 2.2.3 The Works Information Pack (accessible on Viewpoint)
- 2.2.4 The Pre-Construction Information Pack (accessible on Viewpoint)
- 2.2.5 The Site Information Pack (accessible on Viewpoint)
- 2.2.6 Network Rail Standards as referred to within the appropriate sections of the documentation supplied

### 3. Instructions to Suppliers

3.1.1 You are hereby invited to submit a Tender Submission response for the delivery of Detailed Design, Construction, Testing, Commissioning and Handover (GRIP 5-8) of the new BXW Station.

#### 3.2 Indicative Timetable for BXT Station Procurement

3.2.1 This procurement exercise will be undertaken in accordance with the following indicative timetable. LBB reserves the right to amend the timetable at any time during the procurement exercise and, if it does so, will notify all Suppliers of any amendments to the timetable through the e-tendering portal. LBB reserves the right to amend the length of the negotiation stage and, if necessary, commence this sooner.

Milestone	Dates
Publication of Invitation to Initial Tender (ITT)	Thu 4 April 2019
Supplier Deadline to Submit Initial Tender Clarifications	Tue 23 April 2019 12 Noon
Initial Tender Clarifications - LBB Response to supplier questions	Fri 10 May 2019
Supplier Initial Tender Submission - Deadline	Fri 24 May 2019 12 Noon
Initial Tender Review/Evaluation Stage	Tue 28 May – Mon 24 Jun 2019
Negotiation Meetings Period. (Suppliers to keep dates available for the period)	Tue 25 Jun – Fri 19 Jul 2019
Invitation to Submit Final Tenders Negotiations end (subject to confirmation)	Wed 24 July 2019
Supplier Final Tender Submission	Mon 5 August 2019 12 Noon
Final Tender Evaluation Period	Tue 6 Aug – Mon 26 Aug 2019
ARG Approval for Contract Award (Reserved Supplier recommendation to be included if applicable)	Mon 16 Sep 2019
Standstill Period	Tue 17 Sep – Mon 30 Sep 2019
Standstill Period end	Tuesday 1 October 2019
Contract Sealing and Completion	Monday 14 October 2019

### 3.3 General information

- 3.3.1 If any of the Tender documents contain references to standards, procedures, by-laws, other standard documents issued by LBB, NR and any other applicable standards, Suppliers are responsible for obtaining and complying with the requirements of these documents, and any difficulties should be raised as a tender clarification request via LBB's e-tendering portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk)
- 3.3.2 Each Supplier's electronic copy of its tender must be submitted to LBB's data room portal (Viewpoint) with full submissions uploaded no later than the time and date as outlined above or such later date as LBB notifies. Should technical difficulties be experienced with the portal please contact Viewpoint directly for assistance and notify [procurement@barnet.gov.uk](mailto:procurement@barnet.gov.uk)
- 3.3.3 In compiling their Tenders, Suppliers shall be deemed to have read, understood and made appropriate allowance for all information included within the supplied tender documentation (including all Appendices and attachments) as well as the OJEU notice for this tender process.

### **3.4 Governing Law**

- 3.4.1 All negotiations will be conducted, and all documents and Tender submissions will be prepared, in the English language. The negotiations and all subsequent contracts negotiated will be subject to English law and the exclusive jurisdiction of the English courts.

### **3.5 The Negotiation Process**

- 3.5.1 By way of clarification on the shortlisting procedure set out in the Selection Questionnaire, on receipt of the initial Tenders in response to this ITT (the "Initial Tenders") LBB will evaluate these and will select one of the routes defined below, to proceed with:
- 3.5.1.1 Proceed with all three suppliers to the negotiation phase, in which case the negotiation phase may start sooner (by up to 2 weeks) than programmed and Suppliers should allow for this.
  - 3.5.1.2 Select two Suppliers to proceed to the negotiation phase (at which point the unsuccessful Supplier will be notified in writing and feedback given); or
  - 3.5.1.3 Award the contract to a single preferred Supplier at this stage without the need for further negotiation (at which point the unsuccessful Suppliers will be notified in writing and feedback given); or
- 3.5.2 During the negotiation phase LBB and the Suppliers will meet on a one to one basis to discuss, clarify and improve the initial tender. Following the completion of the negotiation process, Suppliers are then given a period of time to submit their final tenders which will then be evaluated to determine and select a single preferred Supplier.
- 3.5.3 LBB reserves the right to invite the second placed Supplier to be a reserve supplier (and subsequently to award the contract to that reserve Supplier), should it prove not to be possible to complete contracts with the preferred Supplier. There will however be no obligation on the second placed Supplier to accept such an invitation, nor an obligation on LBB to make one.
- 3.5.4 The following table provides an indicative negotiation schedule for how the negotiations might proceed. These are indicative and LBB reserves the right to change this schedule to suit the negotiation plans. Suppliers will be notified in advance, accordingly.



### Indicative Negotiation Schedule for BXT Station Procurement

Negotiation Schedule	25-Jun	26-Jun	27-Jun	28-Jun	29-Jun	30-Jun	01-Jul	02-Jul	03-Jul	04-Jul	05-Jul	06-Jul	07-Jul	08-Jul	09-Jul	10-Jul	11-Jul	12-Jul	13-Jul	14-Jul	15-Jul	16-Jul	17-Jul	18-Jul
09:00 - 10:00	PREPARE	PREPARE	PREPARE					PREPARE	PREPARE	PREPARE					PREPARE	PREPARE	PREPARE					PREPARE	PREPARE	PREPARE
10:00 - 11:00	Supplier 1	Supplier 3	Supplier 2					Supplier 1	Supplier 3	Supplier 2					Supplier 1	Supplier 3	Supplier 2					Supplier 1	Supplier 3	Supplier 2
11:00 - 12:00	Supplier 1	Supplier 3	Supplier 2					Supplier 1	Supplier 3	Supplier 2					Supplier 1	Supplier 3	Supplier 2					Supplier 1	Supplier 3	Supplier 2
12:00 - 13:00	Lunch	Lunch	Lunch					Lunch	Lunch	Lunch					Lunch	Lunch	Lunch					Lunch	Lunch	Lunch
13:00 - 14:00	Supplier 2	Supplier 1	Supplier 3					Supplier 2	Supplier 1	Supplier 3					Supplier 2	Supplier 1	Supplier 3					Supplier 2	Supplier 1	Supplier 3
14:00 - 15:00	Supplier 2	Supplier 1	Supplier 3					Supplier 2	Supplier 1	Supplier 3					Supplier 2	Supplier 1	Supplier 3					Supplier 2	Supplier 1	Supplier 3
15:00 - 16:00	WRAPUP	WRAPUP	WRAPUP					WRAPUP	WRAPUP	WRAPUP					WRAPUP	WRAPUP	WRAPUP					WRAPUP	WRAPUP	WRAPUP



### **3.6 Contract Award**

- 3.6.1 The successful Supplier will be required to enter into a contract on the terms contained in its submission (subject to any agreed changes – see Appendix E).

### **3.7 Abnormally Low Tenders**

- 3.7.1 A Tender submission price is considered abnormally low if, because of its favourable terms, it raises a suspicion that the Supplier will not be able to perform according to the terms offered. Any Tender that is considered to be priced abnormally low will be scrutinised by the LBB procurement team. This includes ensuring that this is not as a result of a failure to understand the requirements of the Contract or the Tender documentation. LBB may, at its discretion, reject any Tender that it considers to be abnormally low after following the process in Regulation 69 of the PCR 2015.

### **3.8 LBB Reserves the Right**

- 3.8.1 LBB reserves the right, at its discretion, to request clarifications in writing or further relevant information from any Supplier after the submission of responses.

- 3.8.2 LBB reserves the right at any time:

- 3.8.2.1 to require a Supplier and/or its consortium members to clarify their Tender in writing and/or provide additional information (failure to respond adequately may result in a Supplier not being successful);
- 3.8.2.2 not to consider Tenders other than those specified;
- 3.8.2.3 to issue amendments or modifications to the ITT;

- 3.8.3 LBB reserves the right, at its discretion to reject any bid where its Total Cost to Deliver the Works exceeds the tolerance as defined below:

LBB will calculate the average Total Cost to Deliver the Works (see section 4.7.1) tendered by all Suppliers (the "Average Cost"). A tolerance (the "Tolerance") will be calculated by multiplying the Average Cost by 15%. The Tolerance will be added to the lowest Total Cost to Deliver the Works tendered to give the "Maximum Cost". LBB reserves the right to exclude any Supplier whose tendered Total Cost to Deliver the Works exceeds the Maximum Cost. The example below, demonstrates the workings:

Worked example:

Supplier A Total Cost to Deliver the Works	£5.00m
Supplier B Total Cost to Deliver the Works	£5.50m
Supplier C Total Cost to Deliver the Works	£6.00m
Average Total Cost to Deliver the Works	£5.50m
Tolerance	£0.825m
Maximum Price	£5.825m

In this scenario LBB reserve the right to exclude Supplier C

### 3.9 Tender Costs

3.9.1 LBB will not be liable to any person for any costs whatsoever incurred in the preparation of their Tender submissions.

### 3.10 Tender Stage Instructions

3.10.1 Suppliers must carefully check the documentation to ensure that they have all the required information. Should any part be found to be missing or unclear, this must be raised as a clarification request via messaging on LBB's e-portal system (Barnet sourcing) as soon as is reasonably practicable. No liability will be accepted by LBB for any omissions or errors in the documentation.

3.10.2 Suppliers shall take no advantage of any apparent errors or omissions or inconsistency in the documentation supplied. In the event of the discovery of any such errors or omissions or inconsistencies, they will make LBB aware immediately.

In the event of inconsistency, the order of precedence of the documentation supplied is:

3.10.2.1 the Contract;

3.10.2.2 Contract data (as defined in the Contract);

3.10.2.3 Works Information;

3.10.2.4 Site Information;

3.10.2.5 This ITT.

3.10.3 Tender submissions must be in English.

3.10.4 All financial information must be priced in pounds sterling.

3.10.5 All questions must be answered and where written submission is required, Suppliers shall use font style Arial and point size 11.

3.10.6 Suppliers are responsible for the accuracy of their submissions.

3.10.7 Suppliers are responsible for identifying, planning and pricing everything necessary to deliver the Council's requirements.

- 3.10.8 Suppliers must not alter the Tender documents and must submit a response that is fully compliant with the Tender submission documentation and these instructions. LBB reserves the right to reject any responses which do not comply with any stage of this process.
- 3.10.9 Suppliers are advised to read Tender stage instructions thoroughly as failure to complete the response documents exactly as prescribed means submissions may not upload correctly to Viewpoint and, if so, will not be evaluated.
- 3.10.10 Suppliers are to ensure that response submissions contain all the information requested. No additional material over and above that requested should be included as it cannot be evaluated.
- 3.10.11 Any defined terms shall unless stated have the meaning given in the NEC 3 ECC terms and conditions. They are deemed to be familiar with all the terms, abbreviations and acronyms utilised throughout the tender documentation.
- 3.10.12 Tender submissions are prepared and submitted at each Supplier's own risk. Although this is a bona fide Tender process, LBB may reject any or all submissions and provide no guarantee that any subsequent negotiation process will be undertaken, or contract be awarded. LBB will not reimburse any costs incurred during this process or any subsequent discussions or negotiations, howsoever arising.
- 3.10.13 LBB requires a single channel of communication for responses that is coherent, coordinated and consistent. If Suppliers are submitting as a group of economic operators (such as a consortium), they will need to ensure that their responses adhere to the requirements set out by the Cabinet Office Guidance on Consortia and bids by groups of economic partners.
- 3.10.14 If Suppliers are submitting as a consortium, throughout their response they must ensure that responses are structured such that it is clear how each answer relates to the consortium as a whole and, where relevant, to each of the consortium members. Consortium members are not considered as subconsultants.
- 3.10.15 If it is found necessary to amend the submission documents prior to the date for return of the Tender submission, Suppliers will be notified via LBB's e-tendering portal. Any such amendment shall not amend the deadline for the Tender submission return unless LBB notifies otherwise.
- 3.10.16 Suppliers are required at any time during the Tender process to inform LBB of any changes to circumstances which impact on their Tender submission or suitability to tender. Suppliers will be rejected from the procurement process where they subsequently fail a selection criterion that they originally passed at Selection Questionnaire stage.

- 3.10.17 Failure to disclose all material information (facts that LBB regard as likely to affect the evaluation process), or disclosure of false information at any stage of this procurement process may result in ineligibility for award. Suppliers must provide all information requested and not assume that LBB has prior knowledge of any of this information. Suppliers must answer each question in full and must not cross refer to answers to other questions. LBB reserves the right not to evaluate answers given by way of cross-reference.
- 3.10.18 LBB actively seeks to avoid conflicts of interest and reserves the right to reject Suppliers as ineligible where LBB perceives an actual or potential conflict of interest. Suppliers must advise all potential conflicts of interest as a clarification request via LBB's e-tendering portal prior to the submission of the Supplier's Tender. LBB will then confirm as soon as it can if it considers these significant enough to exclude the Supplier from the procurement process.

### 3.11 Tender Clarifications

- 3.11.1 If there is any doubt about the meaning of the Tender documents, LBB's requirements or any other matter, Suppliers should submit a Tender clarification request via LBB's procurement portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) messaging facility. The final date for submitting clarification requests is 12 noon Tuesday 23 April 2019.
- 3.11.2 Tender clarification requests must only be submitted via LBB's procurement e-portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk). They must not be made raised on Viewpoint or directly to any LBB staff or Re/Capita staff.
- 3.11.3 All relevant clarification requests and responses will be circulated to all Suppliers.

### 3.12 Tender Submission

- 3.12.1 All Tender submission documentation is to be uploaded on LBB's data room system (Viewpoint).
- 3.12.2 All Tender submission documents must be correctly completed and all submissions must be received by LBB, no later than **12 noon Friday 24 May 2019**. All documents are to be uploaded as per the correct procedures. LBB reserves the right not to accept any responses received after that time unless LBB has granted an extension to the Tender submission period to all Suppliers. Please ensure all documents follow the precise format prescribed in this document.
- 3.12.3 LBB reserves the right to change the return date for Tender submissions. If an extension to the Tender submission period is granted, all Suppliers will be notified via LBB's e-tendering portal.
- 3.12.4 If Suppliers are given the opportunity to resubmit their Tender following the grant of an extension of time (after they have already submitted), they must clearly mark the revised offer as such, and date it. They should also provide a statement that it supersedes any previous unopened response.
- 3.12.5 Electronic copies of the Tender submission must be in PDF format. Any scanned documents must be in PDF format.
- 3.12.6 The following documents constitute a Supplier's Tender submission. Suppliers will have to submit all the following:
  - 3.12.6.1 A letter response to LBB on receipt of this Invitation to Tender confirming the intention to submit a Tender bid.
  - 3.12.6.2 Statements in response to specifically phrased technical questions in appendix A of this document.
  - 3.12.6.3 Confirmation that the draft Contract is fully accepted or otherwise by submitting the Legal statement (Appendix E).
  - 3.12.6.4 A completed, signed and returned Contract Data Part 2.



- 3.12.6.5 The Supplier's completed pricing document as per the pricing instructions, which identifies the tender bid price and Contractor fee percentages.
  - 3.12.6.6 A signed and submitted Form of Undertaking (Appendix B), Non-collusion certificate (Appendix C), Non-canvassing certificate (Appendix D) and Form of Tender (Appendix F).
- 3.12.7 The Supplier shall complete its technical submission in line with the format provided in Appendix A of this ITT document.

### **3.13 Confidentiality, Records & Transparency**

- 3.13.1 LBB requests provision of a Confidentiality Agreement, and you are required to sign and return this agreement via [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) to enable access to the data room and the additional confidential documents stored therein. Confidentiality Agreement will be released with Invitation to Tender letter and ITT documents with deadline for return to enable access to Viewpoint
- 3.13.2 Suppliers must keep confidential and not disclose to any third party, save for the purpose of bidding as a Consortium, (without our prior written consent), this tender process, its associated documents and any information supplied by us to you and shall use the information only for the purpose of preparing and submitting your Tender response. Suppliers shall not disclose, copy, reproduce, distribute, or pass it to any other person at any time except for the purpose of enabling a response to be made; all such persons shall have given an undertaking at the time of receipt to keep such information confidential. You must also ensure that all your subconsultants, employees and agents comply with these requirements. You shall also treat details of your submission as confidential. You shall not disclose, other than to the person calling for the Tender (and in accordance with these instructions) the contents of your submission.
- 3.13.3 Suppliers must not, either alone or jointly with others, publish any material relating to LBB, this Tender or the works without our prior written consent.
- 3.13.4 Suppliers must not, either alone or jointly with others, make any media announcements in connection with this Tender, the works, or any dispute arising under or in connection with this ITT document.
- 3.13.5 Sections 3.13.2, 3.13.3 and 3.13.4 do not apply:
  - a. To any information which is already in the public domain at the time of its disclosure other than by breach of these instructions or the Selection Questionnaire; or
  - b. To any information which is required to be disclosed to the extent required by any applicable law, the regulations of any recognised stock exchange, any taxation authorities, or by order of a court or other tribunal of competent jurisdiction or any relevant regulatory body.

3.13.6 Suppliers must note the requirement for records set out in the Tender documentation and ensure that they retain all relevant material produced as part of this process.

### **3.14 Freedom of Information Act 2000 and Environmental Information Regulations 2004**

3.14.1 LBB is subject to the requirements of the Freedom of Information Act 2000 (the "Act") and the Environmental Information Regulations 2004 ("EIR"). Accordingly, all information submitted to it may need to be disclosed by LBB in response to a request under either the Act or the EIR (a "Request").

3.14.2 In making any submission during this procurement process, each Supplier acknowledges and accepts that information contained therein may be disclosed by LBB under the Act or EIR without consulting the Supplier, although LBB will endeavour to consult with the Supplier and consider its views before doing so.

3.14.3 If Suppliers consider that any information made available to LBB is commercially sensitive, they should identify it and explain (in broad terms) what harm may result from disclosure, and the time period applicable to that sensitivity. Even where information made available to LBB is marked commercially sensitive, LBB shall be entitled (acting in its sole discretion) to disclose it pursuant to a request. Please also note that information marked "confidential" or equivalent by Suppliers does not bind LBB to any duty of confidence by virtue of that marking.

3.14.4 Exemptions to disclosure pursuant to a Request do exist and LBB reserves the right to determine (acting in its sole discretion) whether there is any available exemption and whether to disclose any information made available to it by Suppliers pursuant to any Request. If you are unsure as to LBB's obligations under the Act or EIR regarding the disclosure of sensitive information, please seek independent legal advice.

### **3.15 Conflict of interest**

3.15.1 LBB requires all actual or potential conflicts of interest to be declared and resolved to LBB's satisfaction prior to the delivery of the Initial Tender. If any conflict of interest or potential conflict of interest between a Supplier, its advisers, LBB's advisers or any combination thereof becomes apparent to that Supplier, it shall inform LBB immediately. In such circumstances, LBB shall, at its absolute discretion, decide on the appropriate course of action. Failure to declare such conflicts (including new conflicts which may arise during the procurement process) and/or failure to address such conflicts to the reasonable satisfaction of LBB, could result in a Supplier being disqualified at the sole discretion of LBB



### **3.16 Canvassing and Non-Collusion**

- 3.16.1 LBB reserves the right to disqualify (without prejudice to any other civil remedies available to LBB and without prejudice to any criminal liability which such conduct by a Supplier or Consortium Member (as the case maybe) may attract) any Supplier or Consortium Member who (or its directors or any other person who has powers of representation, decision or control of the Supplier or Consortium Member), in connection with this tender:
- 3.16.1.1 Offers any inducement, fee or reward to any member or officer of LBB or any person acting as an adviser for LBB in connection with this tender;
  - 3.16.1.2 Does anything which would constitute the offence of within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906, where the offence relates to active corruption;
  - 3.16.1.3 Does anything which would constitute the offence of bribery, where the offence relates to active corruption;
  - 3.16.1.4 Does anything which would constitute bribery within the meaning of section 1 or 6 of the Bribery Act 2010;
  - 3.16.1.5 Canvasses any member or officer of LBB or any person acting as an adviser for LBB in connection with this tender;
  - 3.16.1.6 Contacts any officer of LBB prior to financial close about any aspect of the tender documents, Tenders or procurement process in a manner not permitted (including without limitation contact for the purposes of discussing the possible transfer to the employment of the Supplier of such officer);
  - 3.16.1.7 Fixes or adjusts the amount of its Tender by or in accordance with any agreement or arrangement with any other Supplier or Consortium Member of any other Supplier (other than its own Consortium Members or supply chain);
  - 3.16.1.8 Enters into any agreement or arrangement with any other Supplier (or Consortium Member of any other Supplier) to the effect that it shall refrain from making a Tender or as to the amount of any Tender to be submitted;
  - 3.16.1.9 Causes or induces any person to enter such agreement to inform the Supplier (or a Consortium Member of the Supplier) of the amount or approximate amount of any rival Tender;
- 3.16.2 Canvasses any person connected with this tender who is not one of its own Consortium Members or one of its own team;

- 3.16.2.1 Offers or agrees to pay or give or does pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other Tender (or proposed Tender) any act or omission;
- 3.16.2.2 Communicates to any person other than LBB the amount or approximate amount of his proposed Tender (except where such disclosure is made in confidence in order to obtain quotations necessary for the preparation of a Tender);
- 3.16.2.3 Enters into any agreement with any other Supplier (or a Consortium Member of any other Supplier) aimed at distorting the outcome of the competition;
- 3.16.2.4 Undertakes to unduly influence the decision-making process of LBB; or
- 3.16.2.5 Undertakes to obtain confidential information that could confer upon an undue advantage in the award of the contract.
- 3.16.2.6 Suppliers will be required to complete and submit certificates of non-collusion (Appendix C of this documents) and non-canvassing (Appendix D of this document) at Initial Tender submission stage and also the Final Tender submission stage.

### **3.17 Intellectual Property Rights**

- 3.17.1 The tender documents may not be reproduced, copied or stored in any medium without the prior written consent of LBB except in relation to the preparation of the Tender.
- 3.17.2 All documentation supplied by LBB in relation to this tender (and all Procurement Documents) is and shall remain the property of LBB and must be returned on demand, without any copies being retained. Suppliers are not authorised to copy, reproduce, or distribute the information in the Procurement Documents at any time except as is necessary to produce the Tender submission.

### **3.18 Publicity**

- 3.18.1 Suppliers shall not undertake (or permit to be undertaken) at any time, whether at this stage or after financial close, any publicity activity with any section of the media in relation to the Project other than with the prior written agreement of LBB. Such agreement shall extend to the content of any publicity. "Media" includes (but without limitation) radio, television, newspapers, trade and specialist press, the internet and email accessible by the public at large and the representatives of such media.

### **3.19 Accuracy of Information**

- 3.19.1 In submitting a Tender, the Supplier undertakes that:
- 3.19.1.1 All information contained in any response at any time provided to LBB in relation is true, accurate and not misleading and that all opinions stated in any part of a response are honestly held and that there are reasonable grounds for holding such opinions; and
- 3.19.1.2 Any matter that arises that renders any of such information untrue, inaccurate or misleading will be brought to the attention of LBB immediately.

### **3.20 Changes in Circumstances**

- 3.20.1 Each Supplier (including, for this purpose, each Supplier in any consortium arrangement) is required to inform LBB promptly and in any case no later than fourteen (14) days, after the occurrence of:
- 3.20.1.1 Any change to its corporate structure from that set out in its response to the Tender submission. This includes the grant of any options to acquire shares, any agreement relating to the exercise of rights attaching to such shares, and any material amendments to a shareholders' agreement, articles of association or similar constitutional documents;
- 3.20.1.2 Any changes to any other information provided to LBB as part of the Tender process; or

- 3.20.1.3 Any other change to its circumstances of the Supplier, or the basis of submission of the response to the Selection Questionnaire or to the Tender, which may be expected to influence LBB's decision on its suitability for selecting the Most Economically Advantageous Tender.
- 3.20.2 LBB reserves the right to approve (subject to conditions) or reject the changes referred to above. A rejection of the changes may result in the Supplier being excluded from further participation in the procurement process. LBB reserves the right and may in certain cases be required under the procurement rules, to disqualify any Supplier that has been shortlisted to ITT where the composition of the Supplier's Consortium has changed after the submission of their Selection Questionnaire.
- 3.21 Disclaimer**
- 3.21.1 Neither the receipt of this document by any person, nor the supply of any information is to be taken as constituting the giving of investment advice by LBB or any of its advisers to any Supplier.
- 3.21.2 Information provided does not purport to be comprehensive or verified by LBB or its advisers. Neither LBB nor its advisers accept any liability or responsibility for the adequacy, accuracy or completeness of any of the information or opinions stated in the Selection Questionnaire documents or Invitation to Tender documents.
- 3.21.3 No representation or warranty, express or implied, is or will be given by LBB or any of its officers, employees, servants, agents or advisers with respect to the information or opinions contained in the Tender documentation, or in any subsequent communications.
- 3.21.4 Any liability in respect of such representations or warranties, howsoever arising, is hereby expressly disclaimed but nothing in this tender shall exclude or restrict liability for fraudulent misrepresentations.
- 3.21.5 No information in this document is, or should be relied upon as, an undertaking or representation as to LBB's ultimate decision in relation to undertaking the works.
- 3.21.6 LBB reserves the right without prior notice to change the procurement process or to amend the information provided, including, but not limited to, changing the timetable, the scope and nature of the procurement and the procurement process. LBB reserves the right to issue circulars to Suppliers providing further information or supplementing and/or amending the procurement process for this tender.
- 3.21.7 In no circumstances shall LBB incur any liability in respect of any changes. This will be subject to the requirements of public law, the UK and EU procurement rules and EU Treaty rules and general principles.

- 3.21.8 Direct or indirect canvassing of the Mayor, any members of the Greater London Authority, employees, directors, board members, agents and advisers of LBB and any of its subsidiaries by any person concerning the Contract or any related procurement process and any attempt to procure information from any of the foregoing concerning the Contract may result in the disqualification of the person and/or the relevant organisation from consideration for the Contract.
- 3.21.9 LBB reserves the right without prior notice not to follow up this document in any way and/or to terminate the procurement process without awarding an Agreement at any time.



## 4. Tender Evaluation

### 4.1 Tender Evaluation Process

- 4.1.1 A rigorous and objective assessment of each tender submission shall be made by the evaluation panel. The assessment of all aspects stated shall be recorded for audit purposes. The Tender stage process will ensure Suppliers are evaluated fairly against the pre-determined evaluation matrix.
- 4.1.2 Upon receipt, the Tender submission will remain unopened until after 12 noon on the day of the Tender Submission Deadline.
- 4.1.3 Each Tender submission will be reviewed prior to evaluation of the Technical and Commercial capacity to ensure its completeness and compliance with the Tender instructions. Incomplete or non-compliant submissions may be rejected prior to evaluation.
- 4.1.4 Only those suppliers that pass the pass/fail questions/compliances will be assessed against the Tender submission questions.
- 4.1.5 All Initial Tender submissions are to be evaluated by a panel of LBB representatives, made up of LBB staff and authorised representatives. A minimum of two evaluators will mark each tender evaluation question. Once all Tender submissions are individually evaluated, a moderation meeting will be held to ensure fair and consistent marking across the Tender submissions. As a result, scores may be adjusted and finalised at the meeting.
- 4.1.6 The submission will enable LBB to form a clear view of the Supplier's technical capability and commercial proposal. The responses in respect of each question must therefore be clear and concise. No reliance will be placed on information given to LBB previously or provided elsewhere in the tender documents.
- 4.1.7 During our evaluation of the tender submissions, Suppliers may be asked to answer clarification questions about their submissions and other matters related to their response. Suppliers must respond to such questions as quickly as possible but, in any event, within 2 working days or, if a deadline is specified, responses must be submitted by that deadline. Failure to respond to any LBB clarification questions, may result in LBB rejecting the Supplier's submission. Any amendments to tender submissions arising from these discussions with them will be considered in the Tender Evaluation.
- 4.1.8 Suppliers are permitted to clarify LBB's requirements in the submission document, and LBB may require clarifying or supplement the information it submits in its tender submission, provided that to do so will not distort competition.
- 4.1.9 Suppliers, both successful and unsuccessful, will have the opportunity to receive feedback regarding their submission if requested.



## 4.2 Tender Evaluation Criteria

- 4.2.1 The Tender assessment is based on the question responses completed in Appendix A of this document by the Suppliers and the completion of the commercial section for each of Scenario 1 and Scenario 2 (see section 5 below).
- 4.2.2 The evaluation of the Tender submissions received will be carried out by an evaluation panel made up of authorised representatives.
- 4.2.3 The preferred supplier shall be identified on the basis of the most economically advantageous tender (MEAT) in accordance with Regulation 67 of the PCR 2015.
- 4.2.4 Tender submissions must be compliant in order to be considered and scored accordingly.
- 4.2.5 Only compliant tender submissions will be evaluated by the evaluation panel:
  - 4.2.5.1 Pass/fail statements will apply as indicated;
  - 4.2.5.2 Indicated weightings will be applied to scored responses, and only those Tender submissions with no fails will be scored and ranked; and
  - 4.2.5.3 Each Technical submission statement will be scored as indicated in **Table A** and **Table B** below.
- 4.2.6 The breakdown of the Tender scoring is 60% Technical and 40% Commercial which is broken down further in Table A Below.

**Table A – Tender Evaluation Matrix**

<b>Technical 60%</b>				
	<b>Criteria</b>	<b>Criteria Weight.</b>	<b>Sub-Criteria</b>	<b>Sub-Criteria Weight</b>
1	CDM Requirements	Pass/ Fail	Q1. CDM Requirements	Mandatory See 4.3.1
2	Delivery team	8%	Q2.1 Organisation Structure Chart	3%
			Q2.2 Capable Individuals	3%
			Q2.3 Retention of Skills and Capability	2%
3	Design Assurance	12%	Q3.1 Design Assurance Plan	7%
			Q3.2 Value Engineering	5%
4	Methodology	15%	Q4.1 Construction, Testing and Commissioning	12%
			Q4.2 Handover Strategy	3%
5	Programme For Delivery	10%	Q5.1 Programme	7%
			Q5.2 Possession Planning Management	3%
6	Delivery Risk	5%	Q6.1 Risk Register	3%
			Q6.2 Risk Identification and Mitigation	2%
7	Social Value	3%	Q7 Social Value	3%
8	Stakeholder Mgt & comm.	2%	Q8 Stakeholder and Community	2%
9	HS&E Mgt	5%	Q9.1 Key Occupational Health Risks Areas	2%
			Q9.2 HSE Risk Mitigation	2%
			Q9.3 Workforce Engagement	1%
<b>Commercial 40%</b>				
10	Total Cost to Deliver the Works	35%	Complete in the Pricing document provided	See 4.6
11	Fee percentage	5%	Complete in the pricing document provided	See 4.8
12	Appendix E	Pass/ Fail	Contractor mark up of draft Contract	Pass/Fail See 4.4

### **4.3 Mandatory requirement (Pass/Fail)**

4.3.1 LBB requires Suppliers to confirm acceptance of undertaking the role of Principal Contractor under Construction, Design and Management Regulations 2015 (CDM) and capable to discharge, the role of Principal Designer if appointed to those roles. LBB reserves the right to fail suppliers to exclude Supplier(s) who are unwilling to accept these roles as this is a mandatory requirement.

### **4.4 Terms and Conditions Evaluation Principles**

4.4.1 The evaluation of the contractual terms and conditions are not awarded a score out of 5.

4.4.2 The evaluation of the contractual terms and conditions will comprise a "Pass/Fail" test.

4.4.3 Suppliers shall provide a Compliance Statement (Appendix E) confirming the acceptance or otherwise of the proposed form of Contract.

4.4.4 The Council reserves the right to Fail a submission to protect its position from exposure to what it considers to be an unacceptable level of risk or expenses, arising because:

- Of the Supplier's mark-up of the contractual documentation; or
- The Supplier has failed to submit the contractual documentation at all and also failed to confirm its unqualified acceptance of the terms;

4.4.5 The Council is committed to providing Suppliers with all necessary comfort during negotiations that this "Fail" criteria will not be exercised capriciously but will be used to protect the Council from what it considers to be un-fundable and/or wholly disproportionate expense or an unacceptable level of risk. A "Fail" will mean that a Supplier's tender will not be evaluated.

4.4.6 LBB reserves the right (but is not obliged) to raise clarifications with a Supplier if it requires clarity over its submission prior to awarding a "Fail".

4.4.7 The process LBB shall implement to evaluate the Supplier's adherence to the contract terms is:

4.4.7.1 ITT submission – Supplier's marked up Terms and Conditions are reviewed (Z Clauses, APA, Other terms) ahead of giving feedback in negotiation (but for the avoidance of doubt a 'Fail' would not be awarded at the Initial Tender stage)

4.4.7.2 During Negotiation - The terms and any gaps are discussed with Suppliers during the negotiations – the intention is that the final ITT submission should not contain changes to terms that have not been discussed and agreed in negotiation.

4.4.7.3 Final ITT submission - The final tender is evaluated in the manner described above.

#### 4.5 Technical Criteria (60%)

4.5.1 The technical criteria are divided into the sub-elements shown in Table A, above. Table A clearly maps out how each sub criterion is linked with the ITT Questions in Appendix A and the weighting for each question. The Supplier is to answer all questions in Appendix A, as instructed and using the tender documentation provided.

4.5.2 The scoring principles set out in **Table B** are to be used for the technical evaluation of the Tender submission. The written responses will be marked out of 5 and a weighting applied to achieve the weighting stated in **Table A**. All Tender submissions will be evaluated against the criteria set out in the Tender Evaluation Matrix in **Table A**.

**Table B – Technical Method Statement Submission Scoring Principles**

Score	Scoring Principles
0	<b>Unacceptable</b> - Completely fails to meet requirements or does not provide a response.
1	<b>Very poor</b> - Response significantly fails to meet the requirements, contains significant shortcomings or is inconsistent with other elements of the response.
2	<b>Poor response</b> - Response falls short of achieving expected requirements in a number of identifiable respects.
3	<b>Acceptable</b> - Response meets the requirements in most material respects but is lacking or inconsistent in others.
4	<b>Very good</b> - Response meets the requirements in all material respects
5	<b>Excellent</b> - Response meets the requirements in all material respects and exceeds some or all the requirements.

## 4.6 Commercial Criteria - Total Cost to Deliver the Works (35%)

### *Pricing Document*

- 4.6.1 It is a tender requirement for the pricing document (provided as part of the tender documentation) to be completed in its entirety. The Supplier shall refer to the Preambles section of the pricing document for explanation on how to complete the document, including information on the elements and principles that must be followed in providing the Total of the Prices.
- 4.6.2 The Supplier is to allow for all costs arising from compliance with all aspects of the Works Information, all other matters contained within this document and all other matters affecting the works.
- 4.6.3 The Supplier is to complete the possession schedule and NR supply chain organisation section of the pricing document in accordance with the Preambles.
- 4.6.4 The Supplier should satisfy itself as to the full extent and nature of the works, as no claim shall be entertained for failure to do so and no payment shall be made for additional work carried out at the discretion of the Supplier in addition to that requested.

### *Pricing Assumptions*

- 4.6.5 All pricing assumptions and exclusions must be clearly and accurately indicated in the pricing document, and appropriately cross-referenced in any contract mark-up.
- 4.6.6 Suppliers should make every effort to avoid entirely or at least minimise pricing assumptions, making full use of the clarification process referred to at section 3.11 of this ITT, prior to tender submission. If any assumptions still remain, these must be clearly stated in the pricing document.
- 4.6.7 Suppliers should ensure that their tender submissions clearly specify how their Total of the Prices would differ in the event that any assumptions they do make are not accepted by LBB. Any tenders that do not do this may, at the discretion of LBB, be deemed to be non-compliant and disqualified.
- 4.6.8 If any submitted assumption is unclear, the Supplier will be required to expand and provide a full and transparent explanation within two (2) working days of being asked to clarify.
- 4.6.9 If:
  - (a) a Supplier refuses to fully clarify a pricing assumption when asked to do so by LBB within two (2) working days of being asked to do so in writing; or

(b) LBB does not accept a pricing assumption either as a result of commentary with submission and/or (a) above, and the Supplier refuses to withdraw the assumption and/or deal with the same in accordance with the requirements of LBB, then:

(i) LBB may at its discretion disqualify the relevant tender; or

(ii) subject to section 4.6.10, LBB may on reflection consider that the relevant assumption is reasonable and accept it as an amendment.

- 4.6.10 LBB will not accept any assumption as a tender amendment where it considers that this would give the relevant Supplier an unfair advantage over the other Suppliers. If LBB believes that accepting the pricing assumption would mean that there would be an unfair advantage, equal treatment will be ensured by giving the other Suppliers an opportunity to re-price to take cognisance of the amendment on an equivalent basis.

#### *Normalisation*

- 4.6.11 Suppliers are strongly encouraged to ensure that in preparing their tenders they comply with all the requirements stated in this section 4.6, resolving and incorporating all pricing assumptions in the submission, and if that is not possible clearly stating any remaining pricing assumptions; and submitting tenders without errors, so that there is no necessity for normalisation to take place. The council reserves the right to raise clarifications on all financial submissions.

## **4.7 Commercial Evaluation Principles**

- 4.7.1 LBB's evaluators will calculate the Total Cost to Deliver the Works by adding the estimated costs associated with possessions that the Supplier has requested to complete works ("the Estimated Possession Costs" - Section 16 of the pricing document) and the NR Supply chain costs ("the NR NSC Costs" - Section 15 of the pricing document) which has been requested by the Supplier to the tendered Total of the Prices. It is this "Total Cost to Deliver the Works" that will be scored and has the 35% allocation weighting. The following calculation summarises the above:

**Total Cost to Deliver the Works (35% Weighting) = Total of the Prices + Estimated Possession Costs + NR NSC Costs**



- 4.7.2 The Total Cost to Deliver the Works will be evaluated in accordance with the methodology described in **Table C** below with example figures.
- 4.7.3 The lowest commercially compliant Total Cost to Deliver the Works submission will automatically score the full weighting allocation (W) of 35%. With the 2<sup>nd</sup> and 3<sup>rd</sup> price ranked submissions being scored using the formula shown below in **Table C**. In this table, the Total Cost to Deliver the Works (Tendered Total Cost) is scored in relation to the Lowest Total Cost to deliver the Works (Lowest Total Cost), using the formulae below:

$$\text{Percentage Score} = 1 - \left( \frac{\text{Tendered Total Cost} - \text{Lowest Total Cost}}{\text{Lowest Total Cost}} \right) \times W$$

- 4.7.4 The worked examples use purely hypothetical data for the sole purpose of demonstrating how the evaluation methodology will be applied to score the Commercial submission. Although not demonstrated in the examples, no tender can score a percentage score of less than 0%.

**Table C – Example Scoring Methodology for Total Costs to Deliver the Works**

Description	Formula	Tenderer		
		T1 £M	T2 £M	T3 £M
Total Cost to deliver the works	TendCost	£4.0	£5.0	£6.0
Lowest submitted Total Cost to deliver the works	LowestCost	£4.0		
Calculation	1- ((TendCost -Lowest Cost) /LowestCost))	1.00	0.75	0.50
<b>Total %</b>	<b>35% of Total score</b>	<b>35.00%</b>	<b>26.25%</b>	<b>17.50%</b>

#### 4.8 Contract Data Fee Percentages (5%)

- 4.8.1 The **Contractor Fee Percentages** section of the pricing document is required to be completed by the Supplier which identifies their Working Area Overhead, Manufacture & Fabrication, Design, Sub-contracted & Direct Fee's against an example Compensation Event of £100k actual cost. LBB requires that the Supplier's submitted fee percentages will be the same if the Supplier was chosen to enter into contract with LBB to deliver the project.
- 4.8.2 The lowest commercially compliant fee percentages submitted will automatically score the full weighting allocation (W) of 5%. With the 2nd and 3rd price ranked submissions being scored using the formula shown below in Table D. In this table, the Tendered Fee Percentage (TendFP) is scored in relation to the Lowest Fee Percentage (LowestFP), using the formulae included in table d below:

**Table D – Example Scoring Methodology for Fee Percentage**

Description	Formula	Tenderer		
		T1 £K	T2 £K	T3 £K
Tendered Fee Percentage	TendFP	£10	£13	£15
Lowest Fee Percentage	LowestFP	£10		
Calculation	1- ((TendFP -Lowest FP) /LowestFP))	1.00	0.70	0.50
<b>Total %</b>	<b>5% of Total score</b>	<b>5.00%</b>	<b>3.50%</b>	<b>2.50%</b>

## 5. Platform Construction Sequencing – Alternative Scenario

### 5.1 Alternative Submission

- 5.1.1 LBB requires Suppliers to submit their submissions based on two different platform construction sequencing options (Scenarios 1 and 2). The full details of the Scenarios 1 and 2 can be found in Works Information/ Works Delivery.
- 5.1.2 In submitting your tender for Scenario 2, please complete the following:
  - 5.1.2.1 A variant Total Cost to Deliver the Works in response to Table A, item 10.
  - 5.1.2.2 A Programme in response to Question Q 5.1 and Q 5.2 in Appendix A.
  - 5.1.2.3 Method statement in response to Q 4.1 and 4.2 in Appendix A
  - 5.1.2.4 A Design Assurance Plan in response to Q 3.1 in Appendix A
  - 5.1.2.5 Proposed arrangements for HSE Risk Mitigation in response to Q 9.2 in Appendix A.
- 5.1.3 Scenario 1 will be evaluated using the same approach as for Scenario 2 as described in section 4 of this ITT.
- 5.1.4 The Council may select the MEAT based on either Scenario 1 or Scenario 2.
- 5.1.5 Suppliers are not required to re-submit elements of their Scenario 1 submission other than as described in section 5.1.2. Suppliers should indicate however if in their view their proposal for the delivery of Scenario 2 is in any other way inconsistent with the remainder of their submission for Scenario 1.

## Appendix A: Technical Submission Method Statements

Suppliers are required to submit the following project specific method statements as part of the Tender submissions.

<b>Q1</b>	<b>CDM Requirements (Pass/Fail)</b>
	Please confirm you are willing to undertake the role of Principal Contractor under Construction, Design and Management Regulations 2015 (CDM) and able to discharge the role of Principal Designer if appointed to those roles?
	Yes <input type="checkbox"/>  No <input type="checkbox"/>

<b>2</b>	<b>Delivery Team 8%</b>
<b>Q 2.1</b>	<b>Organisation Chart Structure (3%):</b>
	Submit your proposed organisation chart to deliver the project in accordance with the Council's Requirements. Include any external consultants (e.g. Design companies and Subcontractors) clearly identifying their engagement status. If you intend to use staff on a part time basis, please ensure that a percentage is allocated to part time staff stating their allocation to the project. For each key role provide a description of the role to be performed on the project as well defining the responsibilities and deliverables of the position.

<p>Q 2.2</p>	<p><b>Capable Individuals (3%):</b></p> <p>Provide details of named key role individuals (in alignment with your proposed organisation Structure) and your proposal demonstrating how these individuals are capable within their specified roles to contribute to the delivery of project (CV's to be provided including relevant qualifications and experience). The roles that require individual proposals are:</p> <p>Project Director, Project Management lead, Construction Management lead, Contractor's Engineering Manager, Contractor's Responsible Engineers (Civils, MEP and Telecoms, for both Design &amp; Construction where individuals are different), Planning lead, Commercial lead and H&amp;S lead.</p>

<p>Q 2.3</p>	<p><b>Retention of Skills and Capability (2%):</b></p> <p>Demonstrate how your organisation intends to ensure that knowledge, skills and capability of the people working on the project is retained throughout the project life cycle, focussing on when people within key roles transition on and off the project.</p>

<b>3</b>	<b>Design and Assurance (Total 12%)</b>
Q 3.1	<p><b>Design Assurance Plan (7%):</b></p> <p>Submit your organisation's proposed design management and assurance plan based on the provided GRIP 4 design documents and Works Information. It is to demonstrate and describe the following:</p> <p>a) All key design deliverables including how the design will be packaged and delivered, referring to the Works Information &amp; engineering documentation included within.</p> <p>b) Indicate how and when approvals are planned to be secured to meet programme timescales as well as identifying proposals for progressive assurance throughout the design and construction process.</p> <p>c) Describe how you will ensure the design is fully integrated (incorporating any specialist sub-contractors if necessary) and meets the requirements set out in the Works Information (including Maintainability).</p> <p>d) Explain how you will manage NR's Life Cycle Costing Process for this project.</p> <p>e) Describe how design risk will be identified and managed.</p> <p>f) Explain how design integration with key interfacing projects (as identified in the Works Information and Site Information) will be managed, in particular with Brent Cross South's (BXS) eastern entrance building design and the sidings and rail system design.</p> <p><i>Responses to the question points a to f will be evaluated in its entirety.</i></p>



Q 3.2	<p><b>Value Engineering (5%):</b></p> <p>Identify any value engineering opportunities that your organisation has identified based on the Works Information and Site Information provided. In your proposal you should identify the description of the value engineering opportunity, steps involved in realising the opportunity, any cost/time saving opportunities, any other associated benefits or disadvantages and the likelihood/probability of realising the opportunity.</p>

<b>4</b>	<b>Methodology (Total 15%)</b>
Q. 4.1	<p><b>Construction, Testing and Commissioning (12%):</b></p> <p>Submit your organisation's proposed methodology for the delivery of the project. It is to include, but not be limited to the following:</p> <ul style="list-style-type: none"> <li>a) Identification of proposed sequencing of the works, including indicative sketches / marked up images;</li> <li>b) Identification of key interface points / areas / timings with Others and the proposal for managing these interfaces;</li> <li>c) Particular focus on the proposed sequencing and integration of the proposed platform construction, identifying possession requirements and how these works would be safely integrated with Others;</li> <li>d) Proposals for management of works during possessions;</li> <li>e) Methods to be employed to prevent damage/disruption to the operational railway (including prevention of possession overruns) and methodology for working adjacent to live railway /OLE;</li> <li>f) Site access/egress arrangements along with logistics (including transport and haulage of material);</li> <li>g) Proposed welfare / site set up facilities &amp; locations;</li> <li>h) Proposals for provision of power to the works;</li> <li>i) Proposals for management of waste;</li> <li>j) Propose your testing and commissioning strategy (including proposed processes and regime) in readiness for asset handover;</li> </ul>

	<p>k) Proposals for obtaining progressive assurance of construction documentation (especially WPPs) to prevent delays to the works;</p> <p>l) Demonstrate how you will manage on-going construction assurance on the project, identifying how key stakeholders such as NR, TOC, BXS would be involved in the process;</p> <p>m) Indication of favoured check sheets, i.e. paper or electronic; and</p> <p>n) Other quality management proposals for the project.</p> <p><i>Responses to the question points a to n will be evaluated in its entirety.</i></p>

<p>Q.</p> <p>4.2</p>	<p><b>Handover strategy (3%):</b></p> <p>Submit your organisations proposed Handover strategy for the project that meets all key stakeholders' requirements managing all interfaces. This should include details of how you will minimise risk to handover by engaging with stakeholders throughout the design &amp; construction of the works.</p>

<b>5</b>	<b>Programme for delivery (10%)</b>
Q.	<b>Programme (7%):</b>
5.1	<p>Submit your organisation's proposed programme (in both PDF and P6 XER format) for the delivery of the project by May 2022, with an easy to follow narrative. It must, in a clear way identify:</p> <ul style="list-style-type: none"> <li>a) All key milestones and activities;</li> <li>b) Durations for approvals, design and construction</li> <li>c) Any float and risks including logic links,</li> <li>d) Interdependencies and the Critical Path.</li> <li>e) Possession dates, including extent of the possession and duration.</li> </ul> <p><i>Responses to the question points a to e will be evaluated in its entirety.</i></p>

Q.	<b>Possession Planning and Management (3%):</b>
5.2	<p>Complete the Possession Schedule included in the pricing document to include your required possessions to deliver the works. This shall include an outline of the proposed works that are to be undertaken within each identified required possession.</p> <p>The Possession Schedule should be accompanied with a narrative below to outline how you will manage the possession booking and management process.</p>

<b>6</b>	<b>Delivery Risk Identification (5%):</b>		
Q.	<b>Risk Register (3%) 200 words per Risk ID:</b>		
6.1	In the format provided, You are required to provide your management and mitigation plans for the risks identified below.		
Risk ID	Description	Phase Impact	Mitigation Strategy
1	Possessions required for station construction are not available	Construction	
2	Additional possessions (in addition to those included in the Possessions Schedule) are required by the Contractor to complete the works	Construction	
3	Interface complexities with Others (design, construction, CDM etc.) result in delays to the station D&B programme	Design & Construction	
4	Constructing slow line platforms requires additional works to be undertaken adjacent to live operational railway due to change in programme sequencing or duration or complexity of works being greater than anticipated	Construction	
5	Difficulties and delays in obtaining approvals of design and assurance documents from the TOC, NR, BXS and / or other regulatory body.	Design & Construction	
6	Difficulties and delays in obtaining sign off of completed works and / or achieving handover / entry into service	Construction & Handover	
7	Possession overruns occur due to Contractor works failing to be completed within planned times (Possessions / Closures), causing delays to train services and resulting in	Construction	

8	Risk of encountering unforeseen ground conditions, undetected utilities or invasive species.	Construction	
9	Weather conditions prevent planned works being undertaken, particularly during planned disruptive possessions e.g. lifting of steelwork being prevented by high winds.	Design & Construction	
10	Suspension or restriction of works resulting from strict planning and environmental requirements (including the Contractor being unable to obtain satisfactory S61 consent) or due to a breach of conditions or complaints, causing delays to the programme.	Construction	

Q.	<b>Risk Identification and Mitigation: (2%) 200 word per mitigation strategy:</b>		
6.2	In the format provided, identify your top 5 additional risks that could hamper the successful delivery of the Council's Requirements. Risks may be internal or external factors.		
Risk ID	Risk Description	Phase Impact	Mitigation Strategy
C1			
C2			
C3			
C4			
C5			

<b>7</b>	<b>Social Value (Total 3%)</b>
Q.	<b>Social Value (3%):</b>
7	Your organisation is required to submit a proposal describing how it would bring added social value to this contract. This should include but does not need to be limited to supporting the local community, Local economy and creating Training, Employment and Supply Chain opportunities for local SMEs, Social Enterprises and voluntary sectors. Your response should demonstrate how your organisation would deliver social, economic or environmental value through the delivery of the project.

<b>8</b>	<b>Stakeholder Management &amp; Community Engagement (Total 2%):</b>
Q.	<b>Stakeholder Management &amp; Community Engagement (2%):</b>
8	Your organisation is required to submit your proposed stakeholder management and Community Engagement plan to deliver the council's requirements. This plan should include your engagement and communications strategy with key stakeholders including but not limited to residents, businesses, Councillors and other development partners on this project.



9	<b>HSE Management Plan (5%)</b>
Q	<b>Key Occupational Health Risks Areas (2%)</b>
9.1	<p>In relation to this project and relating to the construction workforce and others who could be affected by the works, the applicant is to supply:</p> <p>a) A description of the approach to managing Occupational Health on the project how this aligns with Industry Best Practice e.g. pre-start screening, ongoing monitoring, Occupational Health provision on site etc.</p> <p>b) Details of the Occupational Health Professionals (nurses, hygienists etc.) that will support the detailed design and construction phases of the projects and the percentage of their time that will be allocated to the project</p> <p>c) The processes/procedures for the management of Occupational Health through the design and construction phases, of particular interest is how the Principles of Prevention (Hierarchy of Controls) are applied i.e. how Elimination and Reduction of the hazards are implemented and assured rather than relying on on-site procedures and PPE to minimise the effect of exposure.</p> <p><i>Responses to the question points a to c will be evaluated in its entirety.</i></p>

<p>Q</p> <p>9.2</p>	<p><b>HSE Risk Mitigation (2%):</b></p> <p>Please provide and describe your proposed arrangements for managing and mitigating risks in relation to construction methodology, sequencing/programming and management, for ensuring that its HS&amp;E (must include Environment as well as H&amp;S risks) measures will be effective in reducing/preventing incidents, accidents and adverse environmental impacts during the construction phase and subsequently operation and maintenance of the future asset/s. The arrangements should:</p> <p>Address the how key risks will be highlighted in the design and planning of the construction activities and wider project challenges will be managed</p> <p>a) Detail how the arrangements will be implemented effectively on this project to achieve excellent HS&amp;E performance</p> <p>b) Clearly demonstrate continual improvement and incorporating lessons learnt from previous projects/wider industry.</p> <p><i>Responses to the question points a and b will be evaluated in its entirety.</i></p>

<p>Q</p> <p>9.3</p>	<p><b>Workforce engagement (1%)</b></p> <p>Describe the procedures you have in place to involve your staff/workforce in the planning and implementation of HS&amp;E measures? Please provide a statement explaining how the workforce and the supply chain are actively involved in the planning and implementation of HS&amp;E measures and process. The description will be supplemented by evidence of how this is achieved and is effective. You may incorporate evidence from previous projects to illustrate how the approach will be implemented effectively on this project. The submission should demonstrate:</p> <ul style="list-style-type: none"> <li>a) Clear procedure (or statement) on how the workforce is consulted with regards HS&amp;E in the construction</li> <li>b) Compliance with the project requirements</li> <li>c) Compliance with legal requirements</li> <li>d) How the approach is appropriate for activities of the nature and scale envisaged under this procurement</li> </ul> <p><i>Responses to the question points a to d will be evaluated in its entirety.</i></p>
Empty response area	

## Appendix B – Form of Undertaking

### LONDON BOROUGH OF BARNET

**Tender for the provision of delivery of the Detailed Design, Construction, testing, commissioning and handover (GRIP 5-8) of the new Brent Cross West (BXW) station.  
Contract ref 701864**

#### Form of undertaking

To: The Mayor and Burgesses of the London Borough of Barnet, North London Business Park, Oakleigh Road South, London N11 1NP (the "Council")

- (A) We certify that the information supplied in our Initial Tender (IT)/written response is accurate to the best of our knowledge.
- (B) We understand that false information could result in our Initial Tender (IT)/written submission being rejected and not being considered by the Council.
- (C) We confirm that we accept the conditions and undertakings set out in the Initial Tender.
- (D) We confirm that we shall ensure that any of our current or future partners in relation to this project shall adhere to the same conditions.
- (E) If we are selected by the Council as its preferred partner, we undertake at the instruction of the Council (in its absolute discretion) to promptly enter into a bond and/or parent company guarantee as required.
- (F) We offer to Provide the Works in accordance with the Contract Data part one and the attached Contract Data part two for a sum to be determined in accordance with the conditions of contract.
- (G) I am the authorised signatory of the limited company mentioned below and am duly authorised to submit this submission and to bind the company.

I/We

.....

(Insert the full name of the Supplier including 'Ltd.' 'PLC' or as the case may be. N.B. if the legal name is a business name not followed by 'Ltd.' or 'PLC' or a similar expression, please state the legal nature of the Supplier e.g. partnership or incorporated unlimited company.)

of .....

.....

.....(insert address)

or being a company registered in England/Scotland

..... (insert other country of incorporation)

whose registered number is

.....(insert company registration number)

and whose registered office is at

.....

.....(insert registered address of company)

Dated: .....

Signed: .....

Full name of signatory: .....

Capacity of signatory .....

On behalf of:  
(full name of Supplier) .....

## Appendix C – Certificate of Non-Collusion

### CERTIFICATE OF NON-COLLUSION

***In the case of a Consortium, each Consortium Member must complete and return this Certificate.***

To the Mayor and Burgesses of the London Borough of Barnet (“the Council”)

The essence of the public procurement process is that the Council shall receive bona fide competitive Tenders from all Suppliers. In recognition of this principle I/We certify that this is a bona fide Tender, intended to be competitive and that I/we have not fixed or adjusted the amount of the Tender or the rates and prices quoted by or under or in accordance with any agreement or arrangement with any other party.

I/We also certify that I/we have not done and undertake that I/we will not do at any time any of the following acts:

- a) communicate to a party other than the Council the amount or approximate amount of my/our proposed Tender (other than in confidence in order to obtain quotations necessary for the preparation of the Tender);
- b) enter into any agreement or arrangement with any other party that he shall refrain from tendering or as to the amount of any Tender to be submitted;
- c) offer or agree to pay or give or pay or give any sum of money inducement or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused any act or omission to be done in relation to any other tender or the proposed Tender; or
- d) enter into any type of agreement or arrangement with any other party aimed at distorting competition or the outcome of the competition

In this Certificate:

- the word “person” includes any person, body or association, corporate or incorporate
- the phrase “any agreement or arrangement” includes any transaction, formal or informal whether legally binding or not.
- the word “Tender” includes all tender submissions including Initial Tender submissions, Final Tender submissions together with associated clarifications provided by the Supplier

1 **SIGNED** .....

**POSITION** .....



2 **SIGNED** .....  
**POSITION** .....

On behalf of .....

Date .....



## Appendix D - Certificate of Non-Canvassing

### LONDON BOROUGH OF BARNET

Tender for the provision of delivery of the Detailed Design, Construction, testing, commissioning and handover (GRIP 5-8) of the new Brent Cross West (BXW) station.  
Contract ref 701864

### CERTIFICATE OF NON-CANVASSING

*In the case of a Consortium, each Consortium Member must complete and return this Certificate.*

To the Mayor and Burgesses of London Borough of Barnet (“the Council”)

I/We hereby certify that I/we have not in connection with the award of the contract for the project or any other proposed contract for the Council

- canvassed any member, employee, agent of the Council
- undertaken to unduly influence the decision-making process of the Council
- undertaken to obtain confidential information that could confer upon an undue advantage in the award of the contract

and that no person employed by me/us or acting on my/our behalf has done any such act.

I/We further hereby undertake that I/we will not in the future do or seek to do the prohibited acts referred to above and that no person employed by me/us or acting on my/our behalf will do any such act.

1 **SIGNED** .....

**POSITION** .....

2 **SIGNED** .....

**POSITION** .....

On behalf of .....

Date .....

## Appendix E – Legal

**Suppliers should complete Appendix E.**

EITHER

We have no comments on the Contract terms and accept those terms

OR

Our comments are provided below:

Contract Clause	Proposed change	Reason for change

Signature: .....

Name: .....

For and on behalf of: .....

Dated: .....

## Appendix F – Form of Tender

### Provision of Brent Cross West Station Detailed Design and Construction (GRIP 5-8) Contract Ref: 701864

#### FORM OF TENDER

To: The Mayor and Burgesses of the London Borough of Barnet, North London Business Park, Oakleigh Road South, London N11 1NP (the "Council")

Having examined the specifications for the supply of services detailed in this Tender, we offer to supply the said services in conformity therewith for the sums as may be ascertained in accordance with the Tender documents.

I/We .....

**(Insert the full name of the tenderer including 'Ltd.' 'PLC' or as the case may be. N.B. if the legal name is a business name not followed by 'Ltd.' or 'PLC' or a similar expression, please state the legal nature of the tenderer e.g. partnership or incorporated unlimited company.)**

of .....

.....

..... **(Insert address)**

or being a company registered in England/Scotland

..... **(Insert other country of incorporation)**

whose registered number is ..... **(Insert company registration number)**

and whose registered office is at **(Insert registered address of company)**

.....

.....

I/We acknowledge that unless and until this Tender is incorporated in a Form of Contract prepared by the Council's Borough Solicitor and executed by the Council, there shall not be a binding contract between me/us and the Council.

We understand that you are not bound to accept the lowest or any Tender you may receive and that more than one Tender may be accepted or part of one Tender may be accepted, all at the discretion of the council.

Dated: .....

Signed: .....

Full name of signatory: .....

Capacity of signatory: .....

On behalf of :(full name of tenderer) .....

## Appendix 3 - Station Evaluation Criteria

Technical 60%					
	Criteria	Criteria Weight.	Sub-Criteria	Sub-Criteria Weight	Guidance <sup>1</sup>
1	CDM Requirements	Pass/ Fail	Q1. CDM Requirements	Mandatory  See 4.3.1	
2	Delivery team	8%	Q2.1 Organisation Structure Chart	3%	Clear demonstration of commitment to provide the appropriate quantum and level (i.e. expertise) of resourcing during all stages of the project in order to deliver the Council's Requirements
			Q2.2 Capable Individuals	3%	Clear demonstration of your organisation's capability through provision of suitably qualified and experienced project team members to deliver the Council's Requirements.
			Q2.3 Retention of Skills and Capability	2%	Clear demonstration of your organisation's commitment to provide project team continuity for the whole life of the project, explaining how staff turnover will be managed and the resilience of your organisation to such change.
3	Design Assurance	12%	Q3.1 Design Assurance Plan	7%	Clear demonstration that your organisation understands NR's assurance process, the complex work sequence and integration with other projects to deliver the Council's Requirements, ensuring timescales are met without compromising NR's assurance processes and signoffs. Your response should also demonstrate your organisation's ability to maintain a Progressive Assurance plan to manage delivery of the Council's Requirements.
			Q3.2 Value Engineering	5%	Realistic Value Engineering proposals and the likelihood/probability of those translating into cost/programme savings and/or better delivery of Council's requirements throughout the project and the life of the asset.
4	Methodology	15%	Q4.1 Construction, Testing and Commissioning	12%	Comprehensive and robust methodology that demonstrates your organisation's understanding of and your ability to deliver the Council's requirements specifically taking into consideration all key project constraints and interfaces.
			Q4.2 Handover Strategy	3%	Understanding of the council's and all stakeholders' requirements in relation to

<sup>1</sup> See paragraph 4.2.6 above



					a Handover Strategy identifying all required handover tasks and approvals.
5	Programme for Delivery	10%	Q5.1 Programme	7%	A robust and feasible programme accompanied with narrative, demonstrating your organisation's understanding and ability to deliver the Council's requirements by May 2022.
			Q5.2 Possession Planning Management	3%	Understanding of the Network Rail's Possession planning requirements and how this will be planned and managed to deliver the programme
6	Delivery Risk	5%	Q6.1 Risk Register	3%	Ability to offer effective risk management and mitigation plans.
			Q6.2 Risk Identification and Mitigation	2%	Ability to identify additional key project risks and offer effective management and mitigation plans.
7	Social Value	3%	Q7 Social Value	3%	Commitment to Maximising Social, Economic and Environmental Value through the delivery of the project. You should confirm that your proposals will be supported by appropriate contractual commitments to this effect.
8	Stakeholder Mgt & comm.	2%	Q8 Stakeholder and Community	2%	Engage and manage stakeholders, the community and the client provision of customer services commitment and communication plan to deliver the Council's requirements.
9	HS&E Mgt	5%	Q9.1 Key Occupational Health Risks Areas	2%	Demonstrate your organisation's ability to provide Occupational Health and safety provisions suitable for the safe delivery of the project.
			Q9.2 HSE Risk Mitigation	2%	Demonstrate your organisation's ability to identify and mitigate HS&E risks suitable for the safe delivery of this project.
			Q9.3 Workforce Engagement	1%	Demonstrate your organisation's ability to consult and engage with staff/workforce in planning and implementing all required HS&E measures for the safe delivery of the project.
<b>Commercial 40%</b>					
10	Total Cost to Deliver the Works	35%	Complete in the Pricing document provided		See paragraph 4.6 of ISFT
11	Fee percentage	5%	Complete in the pricing document provided		See paragraph 4.8 of ISFT
12	Appendix E	Pass/	Contractor mark up of draft Contract		Pass/Fail
		Fail			See paragraph 4.4 of ISFT

London Borough of Barnet  
Brent Cross West Station Detailed Design and  
Construction (GRIP 5-8)

Invitation to Submit Final Tender (ISFT)

Contract ref 701864

Issue 01



## Abbreviations and definitions

AR	Argent Related
Bidder	each recipient of this ISFT (together the Bidders)
BXC	Brent Cross Cricklewood
BXS	Brent Cross South
BXS LP	A joint venture between AR and LBB responsible for BXS
BXT	Brent Cross Thameslink
BXW	Brent Cross West
CDM	Construction Design Management Regulations 2015
Clarifications	<p>means the clarifications which were issued to bidders throughout the procurement process and which were re-issued on the portal together with this ISFT in the documents titled:</p> <ul style="list-style-type: none"> <li>• Brent Cross West Station ISFT 701864 Support Document (pdf)</li> <li>• Brent Cross West Station Tender Clarification Log 13-Aug-19 pdf</li> <li>• Works Information – Technical 1 V4 (pdf)</li> <li>• 144918-NWR-DRN-EMF-000016 Station Thermal Comfort Report DRN CLOSED (pdf)</li> <li>• BXS-PK001-INF000-C-ARP-SK-00-348-XX_PSS Service road section_P07 (pdf)</li> <li>• Amey NR acc submitter 17.06 GRIP 6 filter completed (pdf)</li> <li>• Brent Cross Station – Pricing Document Final Tender Rev4 (Excel)</li> </ul> <ul style="list-style-type: none"> <li>• Commercial clarification register supplier specific (pdf)</li> <li>• Supplier specific clarification log CPN Stage (pdf)</li> <li>• Supplier specific contract position/Appendix E – Final Closed (pdf)</li> <li>• Supplier specific responses to assumption and exclusion register (Excel)</li> </ul> <p>and "<b>Clarification</b>" means the relevant one (or relevant element) of them</p>
Confidentiality Agreement	the confidentiality agreement signed by each Bidder
Contract	the NEC3 ECC contract – option C with Z-clauses and X-clauses (as updated on 12 August 2019) to be entered into between LBB and the Preferred Bidder (or, in the circumstances outlined in paragraph 3.8.2, the Reserve Bidder) on the terms contained in the Preferred Bidder's (or the Reserve Bidder's (where appropriate)) Final Tender
Council's Requirements	please see paragraph 2

CPN	Competitive Procedure with Negotiation
CSM	Common Safety Method
EIR	Environmental Information Regulations
Final Tender	the proposal to be submitted in response to this ISFT
GRIP	Governance Railway Infrastructure Projects
HSE	Health and Safety Executive
Initial Tender	the proposal submitted in response to the ITT
ISFT	this Invitation to Submit Final Tender
ITT	Invitation to Tender
LBB	London Borough of Barnet, "The Council"
MEP	Mechanical, Electrical and Plumbing
MEAT	Most Economically Advantageous Tender
Minimum Requirements	has the meaning given in paragraph 4.2 of the MOI
MOI	Memorandum of Information
NEC3 ECC	New Engineering Contract, 3 <sup>rd</sup> Edition, Engineering and Construction Contract
NR	Network Rail
OJEU	Official Journal of the European Union
OJEU Notice	means the notice published in the Official Journal of the European Union OJEU Notice 2018/S 207-471593 (Corrigendum Notice 2019/S 030-066280) under Barnet contract reference 701864
OLE	Overhead Line Equipment
PCR	Public Contract Regulations
PPS	Possession Planning System
Preferred Bidder	the first placed Bidder following the evaluation of the Final Tenders in accordance with the process set out in this ISFT
Pricing Document	the pricing document with preambles (as updated on 2 August 2019 and accessible on Viewpoint)
Procurement Documentation	has the meaning given in paragraph 2.2.1
Project	the delivery of the Brent Cross West Station (BXW) by May 2022 which includes Bidders taking responsibility for the GRIP 4 design and completing the Detailed Design, Construction, Testing, Commissioning and Handover (GRIP stages 5-8) all in accordance with the Works Information and the Site Information and which was advertised by the publication of the OJEU Notice
Reserve Bidder	any reserve bidder selected in accordance with paragraph 3.8.2
Site Information	the site information pack (as updated on 2 August 2019 and accessible on Viewpoint)

SME	Small and Medium-Sized Enterprises
SQ	Selection Questionnaire
Submission Deadline	12 noon on 23 August 2019 for softcopy submissions and 12 noon on 27 August for hardcopy submissions
Tender	either or both of the Initial Tender and the Final Tender as the context shall require
TOC	Train Operating Company
Works Information	the works information pack (as updated on 9 August 2019 and accessible on Viewpoint)

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## 1. Background and Purpose of this Document

### 1.1 Background

1.1.1 The BXC regeneration programme is LBB's most significant growth and regeneration programme, identified in the London Plan as a key opportunity area with the potential to become a new and much needed economic centre for the capital, capable of supporting regional housing, shopping, employment, living and leisure.

1.1.2 The comprehensive regeneration programme is dependent on the delivery of the new Brent Cross West station (BXW) as part of the wider Brent Cross Thameslink (BXT) programme which is critical to delivery of the BXC regeneration programme. The station is due to open in May 2022 with eight trains per hour and will see two million journeys in the first year, rising to five million on completion of the BXC development in 2031.

1.1.3 To deliver the Brent Cross West (BXW) project, the Council is seeking a partner with:

- extensive experience of design, build and handover into operational use of multidisciplinary railway infrastructure projects;
- a track record of successful delivery to the public sector, working in partnership with Network Rail and other parties;
- commitment to provide social value by supporting the local community and economy.

### 1.2 Purpose of this Document

1.2.1 Your organisation has submitted a Selection Questionnaire and an Initial Tender in respect of the Project and has been participating in the negotiation stage of this CPN process.

1.2.2 LBB will shortly declare the negotiation phase concluded and has issued this ISFT to the Bidders via LBB's procurement portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk).

1.2.3 This ISFT document is provided to ensure Bidders fully understand the requirements of the process for this procurement process. Following the Clarification issued on 9 August 2019, this ISFT also reiterates the amended procurement timetable which has been notified to all Bidders and which is set out at paragraph 3.2.1.

1.2.4 This ISFT has been developed to reiterate the key steps in this procurement to achieve the selection of a Preferred Bidder as per OJEU Notice 2018/S 207-471593 (Corrigendum Notice 2019/S 030-066280).

- 1.2.5 This document provides the relevant information in respect of and outlines the procedure regarding this procurement exercise, and in particular:
- 1.2.5.1 summarises the background and nature of this procurement exercise; including information on LBB's approach to the CPN process;
  - 1.2.5.2 provides guidance in relation to the content of this ISFT;
  - 1.2.5.3 sets out the deliverables required from Bidders for the responses to this ISFT in the form of a Final Tender;
  - 1.2.5.4 reiterates the Council's Requirements; and
  - 1.2.5.5 reiterates the evaluation criteria that LBB will use to assess the Final Tenders and restates the additional guidance which was issued to Bidders on 16 July 2019.
- 1.2.6 This procurement process is to be conducted as a CPN process under the Public Contract Regulations (PCR) 2015.
- 1.2.7 The Contract shall be awarded on the sole basis of the most economically advantageous tender (MEAT) in accordance with Regulation 67 of the PCR 2015.
- 1.2.8 At the conclusion of this procurement process, the Preferred Bidder will be required to enter into the Contract.
- 1.2.9 All Final Tender submission documents must be correctly completed and submitted in accordance with the instructions in this ISFT, no later than 12.00 noon on 23 August 2019 for softcopy submissions and no later than 12.00 noon on 27 August 2019 for hardcopy submissions. Both soft and hardcopy submissions will be required in order to comply with this ISFT.
- 1.2.10 LBB reserves the right to terminate the process and when appropriate, re-advertise the requirement.
- 1.2.11 Each Bidder's Final Tender must be supplied in the format stated in paragraph 3.16. LBB reserves the right to disqualify a non-compliant submission format.

## 2. Council's Requirements

The "Council's Requirements" as referred to in the evaluation criteria and throughout this ISFT are summarised in this section 2. These comprise the following overarching objectives (Section A) together with the more detailed (Section B) requirements:

### 2.1 Section A

- 2.1.1 Delivering a new railway station on the Midland Main Line by May 2022. This would include taking responsibility for the GRIP 4 design, completing the Detail Design, Construction and Handover (GRIP 5 to 8) of the new BXW Station in accordance with the Works Information and Site Information.

- 2.1.2 Ensuring that in the process of delivering this project, robust procedures are in place to ensure there is no harm caused to any assets or persons.
- 2.1.3 Adhering to all planning and environmental conditions set out within the Works Information and pre-commencement conditions, minimising any adverse impact on the local community, businesses and adjoining and interfacing projects.
- 2.1.4 Recognising that this project forms part of the Council's wider regeneration programme, which is dependent on the delivery of this project and that there are a number of key stakeholders including but not limited to the development partner for the Brent Cross South Development, local residents and a number of interfaces which must be managed.
- 2.1.5 Upholding the Council's vision and values at all times, putting its community first. Further detail included in Barnet 2024 plan that can be accessed via the hyperlink below:

[https://www.barnet.gov.uk/sites/default/files/corporate\\_plan\\_-\\_barnet\\_2024.pdf](https://www.barnet.gov.uk/sites/default/files/corporate_plan_-_barnet_2024.pdf)

## **2.2 Section B**

The requirements which are contained within:

- 2.2.1 The Procurement Documentation (being this ISFT and attached appendices, the ITT and the Invitation to Tender letter and the Pricing Document Template (as updated and issued to bidders on 2 August 2019) (accessible on both Barnet procurement portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) and Viewpoint)
- 2.2.2 The draft NEC3 ECC Contract – Option C with Z-clauses and X-clauses (the "Contract") (as updated on 12 August 2019 and accessible on Viewpoint)
- 2.2.3 The Works Information Pack (as updated on 9 August 2019 and accessible on Viewpoint)
- 2.2.4 The Pre-Construction Information Pack (accessible on Viewpoint)
- 2.2.5 The Site Information Pack (as updated on 2 August 2019 and accessible on Viewpoint)
- 2.2.6 Network Rail Standards as referred to within the appropriate sections of the documentation supplied

and which may have been clarified during the procurement process by the Clarifications

### 3. Instructions to Bidders

3.1.1 You are hereby invited to submit a Final Tender for the delivery of Detailed Design, Construction, Testing, Commissioning and Handover (GRIP 5-8) of the new BXW Station.

#### 3.2 Indicative Timetable for BXT Station Procurement

3.2.1 This procurement exercise has been and will continue to be undertaken in accordance with the following indicative timetable. The third column shows the revised dates which have been discussed with Bidders in the meetings held on 22 and 23 July and which were communicated in a Clarification dated 9 August 2019. LBB reserves the right to further amend the timetable at any time during the procurement exercise and, if it does so, will notify all Bidders of any amendments to the timetable through the e-tendering portal. LBB reserves the right to further amend the length of the negotiation stage, if necessary.

Milestone	Dates	Revised Dates
Publication of Invitation to Initial Tender (ITT)	Thu 4 April 2019	Unchanged
Bidder Deadline to Submit Initial Tender Clarifications	Tue 23 April 2019 12 Noon	Fri 24 May 2019 12 Noon
Initial Tender Clarifications - LBB Response to bidder questions	Fri 10 May 2019	Fri 31 May 2019 12 Noon
Bidder Initial Tender Submission - Deadline	Fri 24 May 2019 12 Noon	Fri 7 Jun 2019 12 Noon
Initial Tender Review/Evaluation Stage	Tue 28 May – Mon 24 Jun 2019	Mon 10 Jun – Fri 28 Jun 2019
Negotiation Meetings Period. (Bidders to keep dates available for the period)	Tue 25 Jun – Fri 19 Jul 2019	Thu 4 Jul – Tue 23 Jul 2019
Invitation to Submit Final Tenders Negotiations end (subject to confirmation)	Wed 24 Jul 2019	Wed 14 Aug 2019
Bidder Final Tender Submission	Mon 5 August 2019 12 Noon	Fri 23 Aug 2019, 12 noon (soft copies) and Tue 27 Aug, 12 noon (hard copies)
Final Tender Evaluation Period	Tue 6 Aug – Mon 26 Aug 2019	Tue 27 Aug - Fri 20 Sep 2019
Approval for Contract Award (Reserved Bidder recommendation to be included if applicable)	Mon 16 Sep 2019	Thu 3 Oct 2019
Contract Award Notices		Thu 3 Oct 2019
Standstill Period commences	Tue 17 Sep – Mon 30 Sep 2019	Fri 4 Oct 2019

Standstill Period end	Tuesday 1 October 2019	Mon 14 Oct 2019
Contract Sealing and Completion	Monday 14 October 2019	Fri 25 Oct 2019





### **3.3 Acceptance of terms in ISFT**

- 3.3.1 Submission of a Final Tender implies acceptance of the terms and conditions of this ISFT by the Bidder.

### **3.4 ISFT Procedural Queries**

- 3.4.1 Any queries relating to this ISFT document must be messaged through the Portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) If this is not feasible please e-mail: [procurement@barnet.gov.uk](mailto:procurement@barnet.gov.uk).
- 3.4.2 LBB will respond to all reasonable queries as soon as practicable. All queries and responses will be dealt with through the Portal or by e-mail only. LBB reserves the right to issue the response to any query to all Bidders. If a Bidder wishes LBB to treat a query as confidential and not issue the response to all Bidders, it must state this when submitting the query. If, in the opinion of LBB, the query is not confidential, LBB will inform the Bidder and it will have an opportunity to withdraw it. If the query is not withdrawn, the response will be issued to all Bidders.
- 3.4.3 The final date for tender clarifications following ITT was 13 August 2019 and in preparing their Final Tender, Bidders are referred to the Clarifications. The final date for queries relating to this ISFT document must be messaged through the Portal no later than 12 noon on 16 August 2019.

### **3.5 Changes to the ISFT and the Project**

- 3.5.1 The information contained in this ISFT may be changed by LBB from time to time without prior (or any) notice being given by LBB.
- 3.5.2 In this document, words such as "anticipates", "expects", "projects", "intends", "plans", "believes" and "will" (and words and terms of similar substance) indicate LBB's present expectation of future events, which are subject to a number of factors and uncertainties that could cause actual requirements to differ materially from those described.
- 3.5.3 Although it is intended that the remainder of this procurement will take place in accordance with this ISFT, LBB reserves the right to terminate, amend or vary the procurement process by notice in writing.

### **3.6 Bidder responsibility regarding information**

- 3.6.1 If any of the Tender documents contain references to standards, procedures, by-laws, other standard documents issued by LBB, NR and any other applicable standards, Bidders are responsible for obtaining and complying with the requirements of these documents, and any difficulties should be raised as a tender clarification request via LBB's e-tendering portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk)



3.6.2 In compiling their Final Tenders, Bidders shall be deemed to have read, understood and made appropriate allowance for all information included within the Procurement Documentation (including all Appendices and attachments), the Clarifications and the OJEU notice for this tender process.

3.6.3 Bidders are requested to note the Due Diligence Questionnaire within the tender support documents on the Portal. This relates to an LBB requirement to attain Information Management detail for contracts it holds. Please can this be completed and returned with your tender submission. This is for information and will not be evaluated.

### **3.7 Governing Law**

3.7.1 All negotiations will be conducted, and all documents and Tender submissions will be prepared, in the English language. The negotiations and all subsequent contracts negotiated will be subject to English law and the exclusive jurisdiction of the English courts.

### **3.8 Selection of Preferred Bidder and Reserved Bidder (if any)**

3.8.1 The Final Tender will be evaluated and the first placed Bidder will be the Preferred Bidder.

3.8.2 LBB reserves the right to invite the second placed Bidder to be a reserve bidder (the "**Reserve Bidder**") and subsequently to award the Contract to that Reserve Bidder, should it prove not to be possible to complete contracts with the Preferred Bidder. There will however be no obligation on the second placed Bidder to accept such an invitation, nor an obligation on LBB to make one.

### **3.9 Contract Award**

3.9.1 As clearly directed throughout this procurement it is expected that agreement will have been reached on all contractual issues before close of the negotiation stage and in accordance with the Regulations no clarification or negotiation of the Final Tenders will take place.

3.9.2 The contract award is subject to the formal approval process of LBB. Until all necessary approvals are obtained and the standstill period completed, no Contract will be entered into.

3.9.3 Once the evaluation has been completed, the Preferred Bidder identified and LBB has reached a decision concerning the contract award, it will notify all Bidders of that decision and provide for a standstill period of ten calendar days before entering into any Contract with the Preferred Bidder.

3.9.4 LBB reserves the right (at its discretion) to invite a Bidder to become Reserve Bidder at contract award stage if it deems this appropriate. There is no obligation on any Bidder to accept an invitation to become Reserve Bidder.

3.9.5 The Preferred Bidder will be required to enter into a Contract on the terms contained in its submission (subject to any agreed changes – see Appendix E).

3.9.6 In entering into the Contract, the Preferred Bidder must only rely on its own enquiries and on the terms and conditions set out in the Contract (as and when finally executed), subject to the limitations and restrictions specified in it.

### **3.10 Abnormally Low Tenders**

3.10.1 A Final Tender submission price will be considered abnormally low if, because of its favourable terms, it raises a suspicion that the Bidder will not be able to perform according to the terms offered. Any Final Tender that is considered to be priced abnormally low will be scrutinised by the LBB procurement team. LBB may, at its discretion, reject any Final Tender that it considers to be abnormally low after following the process in Regulation 69 of the PCR 2015.

### **3.11 LBB Reserves the Right**

3.11.1 LBB reserves the right at any time:

3.11.1.1 (up to submission of Final Tenders) to require a Bidder and/or its consortium members to clarify their Initial Tender in writing and/or provide additional information (failure to respond adequately may result in a Bidder not being successful);

3.11.1.2 not to consider Final Tenders other than those specified;

3.11.1.3 to issue amendments or modifications to the ISFT.

3.11.2 LBB reserves the right, at its discretion to reject any Final Tender where its Total Cost to Deliver the Works exceeds the tolerance as defined below:

LBB will calculate the average Total Cost to Deliver the Works (see section 4.7.1) tendered by all Bidders (the "Average Cost"). A tolerance (the "Tolerance") will be calculated by multiplying the Average Cost by 15%. The Tolerance will be added to the lowest Total Cost to Deliver the Works tendered to give the "Maximum Cost". LBB reserves the right to exclude any Bidder whose tendered Total Cost to Deliver the Works exceeds the Maximum Cost. The example below, demonstrates the workings:

Worked example:

Bidder A Total Cost to Deliver the Works	£5.00m
Bidder B Total Cost to Deliver the Works	£5.50m
Bidder C Total Cost to Deliver the Works	£6.00m
Average Total Cost to Deliver the Works	£5.50m
Tolerance	£0.825m
Maximum Price	£5.825m

In this scenario LBB reserve the right to exclude Bidder C

### 3.12 Tender Costs

- 3.12.1 LBB will not be liable to any person for any costs whatsoever incurred in the preparation of their Tender submissions or otherwise in relation to this procurement.

### 3.13 Final Tender Stage Instructions

- 3.13.1 Bidders must carefully check the documentation to ensure that they have all the required information. Should any part be found to be missing or unclear, this must be raised as a clarification request via messaging on LBB's e-portal system (Barnet sourcing) as soon as is reasonably practicable. No liability will be accepted by LBB for any omissions or errors in the documentation.
- 3.13.2 Bidders shall take no advantage of any apparent errors or omissions or inconsistency in the documentation supplied. In the event of the discovery of any such errors or omissions or inconsistencies, they will make LBB aware immediately.

In the event of inconsistency, the order of precedence of the documentation supplied is:

- 3.13.2.1 the Contract (as updated and issued on 12 August 2019);
- 3.13.2.2 Contract data (as defined in the Contract);
- 3.13.2.3 Works Information (as updated and issued on 9 August 2019);
- 3.13.2.4 Site Information (as updated and issued on 2 August 2019);
- 3.13.2.5 this ISFT; and
- 3.13.2.6 the remaining Procurement Documentation

and which may have been clarified during the procurement process by the Clarifications

- 3.13.3 Tender submissions must be in English.
- 3.13.4 All financial information must be priced in pounds sterling.
- 3.13.5 All questions must be answered and where written submission is required, Bidders shall use font style Arial and point size 11.
- 3.13.6 Bidders are responsible for the accuracy of their submissions.
- 3.13.7 Bidders are responsible for identifying, planning and pricing everything necessary to deliver the Council's Requirements.
- 3.13.8 Bidders must not alter the Procurement Documentation and must submit a response that is fully compliant with the Procurement Documentation and these instructions. LBB reserves the right to reject any responses which do not comply with any stage of this process.
- 3.13.9 Bidders are advised to read the ISFT instructions thoroughly as failure to complete the response documents exactly as prescribed means submissions may not upload correctly to Viewpoint and, if so, will not be evaluated.
- 3.13.10 Bidders are to ensure that response submissions contain all the information requested. No additional material over and above that requested should be included as it cannot be evaluated.
- 3.13.11 Any defined terms shall unless stated have the meaning given in the NEC 3 ECC terms and conditions. Bidders are deemed to be familiar with all the terms, abbreviations and acronyms utilised throughout the tender documentation.
- 3.13.12 Tender submissions are prepared and submitted at each Bidder's own risk. Although this is a bona fide Tender process, LBB may reject any or all submissions and provides no guarantee that any Contract will be awarded. LBB will not reimburse any costs incurred during this process or any subsequent discussions, howsoever arising.
- 3.13.13 LBB requires a single channel of communication for responses that is coherent, co-ordinated and consistent. If Bidders are submitting as a group of economic operators (such as a consortium), they will need to ensure that their responses adhere to the requirements set out by the Cabinet Office Guidance on Consortia and bids by groups of economic partners.
- 3.13.14 If Bidders are submitting as a consortium, throughout their response they must ensure that responses are structured such that it is clear how each answer relates to the consortium as a whole and, where relevant, to each of the consortium members. Consortium members are not considered as subconsultants.
- 3.13.15 If it is found necessary to amend this ISFT prior to the date for return of the Final Tender submission, Bidders will be notified via LBB's e-tendering portal. Any such amendment shall not amend the deadline for the Final Tender submission return unless LBB notifies otherwise.

- 3.13.16 Bidders are required at any time during the Tender process to inform LBB of any changes to circumstances which impact on their Final Tender submission or suitability to tender. Suppliers will be rejected from the procurement process where they subsequently fail a selection criterion that they originally passed at Selection Questionnaire stage. In particular, Bidders are deemed to have re-confirmed their acceptance of the Minimum Requirements when submitting a Final Tender.
- 3.13.17 Failure to disclose all material information (facts that LBB regard as likely to affect the evaluation process), or disclosure of false information at any stage of this procurement process may result in ineligibility for award. Bidders must provide all information requested and not assume that LBB has prior knowledge of any of this information. Bidders must answer each question in full and must not cross refer to answers to other questions. LBB reserves the right not to evaluate answers given by way of cross-reference.
- 3.13.18 LBB actively seeks to avoid conflicts of interest and reserves the right to reject Bidders as ineligible where LBB perceives an actual or potential conflict of interest. Bidders must advise all potential conflicts of interest as a clarification request via LBB's e-tendering portal prior to the submission of the Bidder's Final Tender. LBB will then confirm as soon as it can if it considers these significant enough to exclude the Bidder from the procurement process.

### **3.14 Tender Clarifications**

- 3.14.1 If there is any doubt about the meaning of the Procurement Documentation, the Council's Requirements or any other matter, Bidders had the opportunity to submit a Tender clarification request via LBB's procurement portal [www.barnetsourcing.co.uk](http://www.barnetsourcing.co.uk) messaging facility.

### **3.15 A compliant response**

- 3.15.1 LBB requires the Bidder to submit a compliant Final Tender and complete its Final Tender in accordance with the provisions of this ISFT.
- 3.15.2 The Bidder must demonstrate in its Final Tender that all proposals contained in the Final Tender are capable of delivery and the Final Tender must have commitment from the appropriate decision making forum within the Bidder's organisation.
- 3.15.3 The Final Tender must meet the Minimum Requirements.
- 3.15.4 The Final Tender must operate as a stand-alone bid and not be dependent on any other bid or any other factors external to the Final Tender itself (that is, each Final Tender must be capable of being accepted by LBB in its own right).



### 3.16 Tender Submission

- 3.16.1 The following documents constitute a Final Tender response. Bidders will have to submit all the following:
- 3.16.1.1 Statements in response to specifically phrased technical questions in appendix A of this ISFT.
  - 3.16.1.2 Confirmation that the draft Contract (as amended and issued to bidders on 12 August 2019) is fully accepted or otherwise by submitting the Legal statement (Appendix E) completed with the amendments agreed with LBB during the negotiation phase and with no further amendments or revisions.
  - 3.16.1.3 A completed, signed and returned Contract Data Part 2.
  - 3.16.1.4 The Bidder's completed pricing document (in the form updated and issued to bidders on 2 August 2019) as per the pricing instructions, which identifies the tender bid price and Contractor fee percentages.
  - 3.16.1.5 A signed and submitted Form of Undertaking (Appendix B), Non-collusion certificate (Appendix C), Non-canvassing certificate (Appendix D) and Form of Tender (Appendix F).
  - 3.16.1.6 Company and parent company accounts for the last two financial years (which will support the due diligence check which will be conducted by LBB in relation to the Preferred Bidder and the Reserve Bidder (where relevant)).
- 3.16.2 In accordance with the submission guidance published on 16 July 2019, LBB will require submission to be in the following format:
- Softcopy complete response to ISFT 'clean' with all changes incorporated tender response uploaded to Viewpoint
  - Softcopy complete response to ISFT track changed\* against the Initial Tender uploaded to Viewpoint
  - Softcopy executive summary submission statement (limited to two sides of A4) uploaded to LBB procurement portal
  - Softcopy tender submission checklist uploaded to LBB procurement portal
  - Softcopy legal compliance forms defined in paragraph 3.16 uploaded to LBB procurement portal
  - Electronic softcopies of the Final Tender submission must be in PDF format. Any scanned documents must be in PDF format.
  - Hardcopy ring bound complete response to ISFT 'clean' with all changes incorporated tender response x 4.



- Hardcopy ring bound response to ISFT track changed\* against the Initial Tender response x 4.
- An encrypted USB with full submission - please provide encryption password via LBB portal.

\*Provided the method statement/technical response clearly cross references the appendix and, if appropriate, indicates if this is an amendment to that included in the ITT submission then tracked change appendices are not required

3.16.3 The hardcopy submissions are to be addressed to:

For the attention of Amir Sarrafan, Brent Cross Thameslink Programme

Capita plc

5<sup>th</sup> Floor

65 Gresham Street

London EC2V 7NQ

3.16.4 All submissions be submitted in accordance with the submission deadline of:

3.16.4.1 12 noon on 23 August 2019 for softcopy submissions; and

3.16.4.2 12 noon on 27 August 2019 for hardcopy submissions.

### **3.17 Confidentiality, Records & Transparency**

3.17.1 Bidders are required to comply with the terms of the signed Confidentiality Agreement and the provisions of this paragraph 3.17.

3.17.2 Bidders must keep confidential and not disclose to any third party, save for the purpose of bidding as a Consortium, (without our prior written consent), this tender process, its associated documents and any information supplied by us to you and shall use the information only for the purpose of preparing and submitting your Tender response. Bidders shall not disclose, copy, reproduce, distribute, or pass it to any other person at any time except for the purpose of enabling a response to be made; all such persons shall have given an undertaking at the time of receipt to keep such information confidential. You must also ensure that all your sub-consultants, employees and agents comply with these requirements. You shall also treat details of your submission as confidential. You shall not disclose, other than to the person calling for the Tender (and in accordance with these instructions) the contents of your submission.

3.17.3 Bidders must not, either alone or jointly with others, publish any material relating to LBB, this procurement or the works without our prior written consent.

- 3.17.4 Bidders must not, either alone or jointly with others, make any media announcements in connection with this procurement, the works, or any dispute arising under or in connection with this ISFT document.
- 3.17.5 Paragraphs 3.17.2, 3.17.3 and 3.17.4 do not apply:
- a. To any information which is already in the public domain at the time of its disclosure other than by breach of these instructions or the Selection Questionnaire / ITT; or
  - b. To any information which is required to be disclosed to the extent required by any applicable law, the regulations of any recognised stock exchange, any taxation authorities, or by order of a court or other tribunal of competent jurisdiction or any relevant regulatory body.
- 3.17.6 Bidders must note the requirement for records set out in the Tender documentation and ensure that they retain all relevant material produced as part of this process.

### **3.18 Freedom of Information Act 2000 and Environmental Information Regulations 2004**

- 3.18.1 LBB is subject to the requirements of the Freedom of Information Act 2000 (the "Act") and the Environmental Information Regulations 2004 ("EIR"). Accordingly, all information submitted to it may need to be disclosed by LBB in response to a request under either the Act or the EIR (a "Request").
- 3.18.2 In making any submission during this procurement process, each Bidder acknowledges and accepts that information contained therein may be disclosed by LBB under the Act or EIR without consulting the Bidder, although LBB will endeavour to consult with the Bidder and consider its views before doing so.
- 3.18.3 If Bidders consider that any information made available to LBB is commercially sensitive, they should identify it and explain (in broad terms) what harm may result from disclosure, and the time period applicable to that sensitivity. Even where information made available to LBB is marked commercially sensitive, LBB shall be entitled (acting in its sole discretion) to disclose it pursuant to a request. Please also note that information marked "confidential" or equivalent by Bidders does not bind LBB to any duty of confidence by virtue of that marking.
- 3.18.4 Exemptions to disclosure pursuant to a Request do exist and LBB reserves the right to determine (acting in its sole discretion) whether there is any available exemption and whether to disclose any information made available to it by Bidders pursuant to any Request. If you are unsure as to LBB's obligations under the Act or EIR regarding the disclosure of sensitive information, please seek independent legal advice.

### **3.19 Conflict of interest**

- 3.19.1 LBB required all actual or potential conflicts of interest to be declared and resolved to LBB's satisfaction prior to the delivery of the Initial Tender.
- 3.19.2 If any further conflict of interest or potential conflict of interest between a Bidder, its advisers, LBB's advisers or any combination thereof becomes apparent to that Bidder, it shall inform LBB immediately. In such circumstances, LBB shall, at its absolute discretion, decide on the appropriate course of action.
- 3.19.3 Failure to declare such conflicts (including new conflicts which may arise during the procurement process) and/or failure to address such conflicts to the reasonable satisfaction of LBB, could result in a Bidder being disqualified at the sole discretion of LBB

### **3.20 Canvassing and Non-Collusion**

- 3.20.1 LBB reserves the right to disqualify (without prejudice to any other civil remedies available to LBB and without prejudice to any criminal liability which such conduct by a Bidder or Consortium Member (as the case maybe) may attract) any Bidder or Consortium Member who (or its directors or any other person who has powers of representation, decision or control of the Bidder or Consortium Member), in connection with this tender:
- 3.20.1.1 Offers any inducement, fee or reward to any member or officer of LBB or any person acting as an adviser for LBB in connection with this tender;
  - 3.20.1.2 Does anything which would constitute the offence of within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906, where the offence relates to active corruption;
  - 3.20.1.3 Does anything which would constitute the offence of bribery, where the offence relates to active corruption;
  - 3.20.1.4 Does anything which would constitute bribery within the meaning of section 1 or 6 of the Bribery Act 2010;
  - 3.20.1.5 Canvasses any member or officer of LBB or any person acting as an adviser for LBB in connection with this tender;
  - 3.20.1.6 Contacts any officer of LBB prior to financial close about any aspect of the tender documents, Tenders or procurement process in a manner not permitted (including without limitation contact for the purposes of discussing the possible transfer to the employment of the Bidder of such officer);
  - 3.20.1.7 Fixes or adjusts the amount of its Tender by or in accordance with any agreement or arrangement with any other Bidder or Consortium Member of any other Bidder (other than its own Consortium Members or supply chain);
  - 3.20.1.8 Enters into any agreement or arrangement with any other Bidder (or Consortium Member of any other Bidder) to the effect that it shall refrain from making a Tender or as to the amount of any Tender to be submitted;
  - 3.20.1.9 Causes or induces any person to enter such agreement to inform the Bidder (or a Consortium Member of the Bidder) of the amount or approximate amount of any rival Tender;
- 3.20.2 Canvasses any person connected with this tender who is not one of its own Consortium Members or one of its own team;

- 3.20.2.1 Offers or agrees to pay or give or does pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other Tender (or proposed Tender) any act or omission;
- 3.20.2.2 Communicates to any person other than LBB the amount or approximate amount of his proposed Tender (except where such disclosure is made in confidence in order to obtain quotations necessary for the preparation of a Tender);
- 3.20.2.3 Enters into any agreement with any other Bidder (or a Consortium Member of any other Bidder) aimed at distorting the outcome of the competition;
- 3.20.2.4 Undertakes to unduly influence the decision-making process of LBB; or
- 3.20.2.5 Undertakes to obtain confidential information that could confer upon an undue advantage in the award of the contract.
- 3.20.2.6 Bidders were required to complete and submit certificates of non-collusion (Appendix C of this documents) and non-canvassing (Appendix D of this document) at Initial Tender submission stage and will also be required to submit such certificates at the Final Tender submission stage.



### **3.21 Intellectual Property Rights**

- 3.21.1 The Procurement Documentation may not be reproduced, copied or stored in any medium without the prior written consent of LBB except in relation to the preparation of the Tender.
- 3.21.2 All documentation supplied by LBB in relation to this tender (and all Procurement Documentation) is and shall remain the property of LBB and must be returned on demand, without any copies being retained. Bidders are not authorised to copy, reproduce, or distribute the information in the Procurement Documentation at any time except as is necessary to produce the Tender submission.

### **3.22 Publicity**

- 3.22.1 Bidders shall not undertake (or permit to be undertaken) at any time, whether at this stage or after financial close, any publicity activity with any section of the media in relation to the Project other than with the prior written agreement of LBB. Such agreement shall extend to the content of any publicity. "Media" includes (but without limitation) radio, television, newspapers, trade and specialist press, the internet and email accessible by the public at large and the representatives of such media.

### **3.23 Accuracy of Information**

- 3.23.1 In submitting a Tender, the Bidder undertakes that:
- 3.23.1.1 All information contained in any response at any time provided to LBB in relation is true, accurate and not misleading and that all opinions stated in any part of a response are honestly held and that there are reasonable grounds for holding such opinions; and
- 3.23.1.2 Any matter that arises that renders any of such information untrue, inaccurate or misleading will be brought to the attention of LBB immediately.

### **3.24 Changes in Circumstances**

- 3.24.1 Each Bidder (including, for this purpose, each Bidder in any consortium arrangement) is required to inform LBB promptly and in any case no later than fourteen (14) days, after the occurrence of:
- 3.24.1.1 Any change to its corporate structure from that set out in its response to the Tender submission. This includes the grant of any options to acquire shares, any agreement relating to the exercise of rights attaching to such shares, and any material amendments to a shareholders' agreement, articles of association or similar constitutional documents;
- 3.24.1.2 Any changes to any other information provided to LBB as part of the Tender process; or



3.24.1.3 Any other change to its circumstances of the Bidder, or the basis of submission of the response to the Selection Questionnaire or to the Tender, which may be expected to influence LBB's decision on its suitability for selecting the Most Economically Advantageous Tender.

3.24.2 LBB reserves the right to approve (subject to conditions) or reject the changes referred to above. A rejection of the changes may result in the Bidder being excluded from further participation in the procurement process. LBB reserves the right and may in certain cases be required under the procurement rules, to disqualify any Bidder where the composition of the Bidder's Consortium has changed after the submission of their Selection Questionnaire.

### **3.25 Disclaimer**

3.25.1 Neither the receipt of this document by any person, nor the supply of any information is to be taken as constituting the giving of investment advice by LBB or any of its advisers to any Bidder.

3.25.2 Information provided does not purport to be comprehensive or verified by LBB or its advisers. Neither LBB nor its advisers accept any liability or responsibility for the adequacy, accuracy or completeness of any of the information or opinions stated in the Procurement Documentation.

3.25.3 No representation or warranty, express or implied, is or will be given by LBB or any of its officers, employees, servants, agents or advisers with respect to the information or opinions contained in the Procurement Documentation, or in any subsequent communications.

3.25.4 Any liability in respect of such representations or warranties, howsoever arising, is hereby expressly disclaimed but nothing in this tender shall exclude or restrict liability for fraudulent misrepresentations.

3.25.5 No information in this document is, or should be relied upon as, an undertaking or representation as to LBB's ultimate decision in relation to undertaking the works.

3.25.6 LBB reserves the right without prior notice to change the procurement process or to amend the information provided, including, but not limited to, changing the timetable, the scope and nature of the procurement and the procurement process. LBB reserves the right to issue circulars to Bidders providing further information or supplementing and/or amending the procurement process for this tender.

3.25.7 In no circumstances shall LBB incur any liability in respect of any changes. This will be subject to the requirements of public law, the UK and EU procurement rules and EU Treaty rules and general principles.

- 3.25.8 Direct or indirect canvassing of the Mayor, any members of the Greater London Authority, employees, directors, board members, agents and advisers of LBB and any of its subsidiaries by any person concerning the Contract or any related procurement process and any attempt to procure information from any of the foregoing concerning the Contract may result in the disqualification of the person and/or the relevant organisation from consideration for the Contract.
- 3.25.9 LBB reserves the right without prior notice not to follow up this document in any way and/or to terminate the procurement process without awarding a Contract at any time.

## 4. Tender Evaluation

### 4.1 Tender Evaluation Process

- 4.1.1 A rigorous and objective assessment of each Final Tender shall be made by the evaluation panel. The assessment of all aspects stated shall be recorded for audit purposes. The Final Tender stage process will ensure Suppliers are evaluated fairly against the pre-determined evaluation matrix.
- 4.1.2 Upon receipt, the Final Tender submission will remain unopened until after 12 noon on the day of the Submission Deadline.
- 4.1.3 Each Final Tender submission will be reviewed prior to evaluation of the Technical and Commercial capacity to ensure its completeness and compliance with the ISFT instructions. Incomplete or non-compliant submissions may be rejected prior to evaluation.
- 4.1.4 Only those Bidders that pass the pass/fail questions/compliances will be assessed against the Final Tender submission questions.
- 4.1.5 All Final Tender submissions are to be evaluated by a panel of LBB representatives, made up of LBB staff and authorised representatives. A minimum of two evaluators will mark each tender evaluation question. Once all Final Tender submissions are individually evaluated, a moderation meeting will be held to ensure fair and consistent marking across the Final Tender submissions. As a result, scores may be adjusted and finalised at the meeting.
- 4.1.6 The submission will enable LBB to form a clear view of the Bidder's technical capability and commercial proposal. The responses in respect of each question must therefore be clear and concise. No reliance will be placed on information given to LBB previously or provided elsewhere in the tender documents. Evasive, unclear or hedged responses may be discounted in evaluation and may, at LBB's discretion, be taken as a rejection by the Bidder of the terms set out in this ISFT.
- 4.1.7 Bidders, both successful and unsuccessful, will have the opportunity to receive feedback regarding their Final Tender submission.

### 4.2 Tender Evaluation Criteria

- 4.2.1 The Final Tender assessment is based on the question responses completed in Appendix A of this document by the Suppliers and the completion of the commercial section.
- 4.2.2 The evaluation of the Final Tender submissions received will be carried out by an evaluation panel made up of authorised representatives.
- 4.2.3 The Preferred Bidder shall be identified on the basis of the most economically advantageous tender (MEAT) in accordance with Regulation 67 of the PCR 2015.

- 4.2.4 Final Tender submissions must be compliant in order to be considered and scored accordingly.
- 4.2.5 Only compliant Final Tender submissions will be evaluated by the evaluation panel:
- 4.2.5.1 Pass/fail statements will apply as indicated;
  - 4.2.5.2 Indicated weightings will be applied to scored responses, and only those Tender submissions with no fails will be scored and ranked; and
  - 4.2.5.3 Each Technical submission statement will be scored as indicated in **Table A** and **Table B** below.
- 4.2.6 The breakdown of the Tender scoring is 60% Technical and 40% Commercial which is broken down further in Table A below. Further to the Clarification issued on 16 July 2019, the table below and Appendix A now both include the generic feedback which has been issued to all bidders by way of additional guidance on the questions 2.1 – 9.3.

**Table A – Tender Evaluation Matrix**

<b>Technical 60%</b>					
	<b>Criteria</b>	<b>Criteria Weight.</b>	<b>Sub-Criteria</b>	<b>Sub-Criteria Weight</b>	<b>Guidance<sup>1</sup></b>
1	CDM Requirements	Pass/ Fail	Q1. CDM Requirements	Mandatory See 4.3.1	
2	Delivery team	8%	Q2.1 Organisation Structure Chart	3%	Clear demonstration of commitment to provide the appropriate quantum and level (i.e. expertise) of resourcing during all stages of the project in order to deliver the Council's Requirements
			Q2.2 Capable Individuals	3%	Clear demonstration of your organisation's capability through provision of suitably qualified and experienced project team members to deliver the Council's Requirements.
			Q2.3 Retention of Skills and Capability	2%	Clear demonstration of your organisation's commitment to provide project team continuity for the whole life of the project, explaining how staff turnover will be managed and the resilience of your organisation to such change.
3	Design Assurance	12%	Q3.1 Design Assurance Plan	7%	Clear demonstration that your organisation understands NR's assurance process, the complex work sequence and integration with other projects to deliver the Council's Requirements, ensuring timescales are met without compromising NR's assurance processes and signoffs. Your response should also demonstrate your organisation's ability to maintain a Progressive Assurance plan to manage delivery of the Council's Requirements.
			Q3.2 Value Engineering	5%	Realistic Value Engineering proposals and the likelihood/probability of those translating into cost/programme savings and/or better delivery of Council's requirements throughout the project and the life of the asset.
4	Methodology	15%	Q4.1 Construction, Testing and Commissioning	12%	Comprehensive and robust methodology that demonstrates your organisation's understanding of and your ability to deliver the Council's requirements specifically taking into consideration all key project constraints and interfaces.

<sup>1</sup> See paragraph 4.2.6 above

			Q4.2 Handover Strategy	3%	Understanding of the council's and all stakeholders' requirements in relation to a Handover Strategy identifying all required handover tasks and approvals.
5	Programme for Delivery	10%	Q5.1 Programme	7%	A robust and feasible programme accompanied with narrative, demonstrating your organisation's understanding and ability to deliver the Council's requirements by May 2022.
			Q5.2 Possession Planning Management	3%	Understanding of the Network Rail's Possession planning requirements and how this will be planned and managed to deliver the programme
6	Delivery Risk	5%	Q6.1 Risk Register	3%	Ability to offer effective risk management and mitigation plans.
			Q6.2 Risk Identification and Mitigation	2%	Ability to identify additional key project risks and offer effective management and mitigation plans.
7	Social Value	3%	Q7 Social Value	3%	Commitment to Maximising Social, Economic and Environmental Value through the delivery of the project. You should confirm that your proposals will be supported by appropriate contractual commitments to this effect.
8	Stakeholder Mgt & comm.	2%	Q8 Stakeholder and Community	2%	Engage and manage stakeholders, the community and the client provision of customer services commitment and communication plan to deliver the Council's requirements.
9	HS&E Mgt	5%	Q9.1 Key Occupational Health Risks Areas	2%	Demonstrate your organisation's ability to provide Occupational Health and safety provisions suitable for the safe delivery of the project.
			Q9.2 HSE Risk Mitigation	2%	Demonstrate your organisation's ability to identify and mitigate HS&E risks suitable for the safe delivery of this project.
			Q9.3 Workforce Engagement	1%	Demonstrate your organisation's ability to consult and engage with staff/workforce in planning and implementing all required HS&E measures for the safe delivery of the project.
<b>Commercial 40%</b>					
10	Total Cost to Deliver the Works	35%	Complete in the Pricing document provided		See paragraph 4.6
11	Fee percentage	5%	Complete in the pricing document provided		See paragraph 4.8
12	Appendix E	Pass/ Fail	Contractor mark up of draft Contract		Pass/Fail See paragraph 4.4



### 4.3 Mandatory requirement (Pass/Fail)

- 4.3.1 LBB requires Bidders to confirm acceptance of undertaking the role of Principal Contractor under Construction, Design and Management Regulations 2015 (CDM) and capable to discharge, the role of Principal Designer if appointed to those roles. LBB reserves the right to fail suppliers to exclude Bidders who are unwilling to accept these roles as this is a mandatory requirement.

### 4.4 Terms and Conditions Evaluation Principles

- 4.4.1 The evaluation of the contractual terms and conditions are not awarded a score out of 5.
- 4.4.2 The evaluation of the contractual terms and conditions will comprise a “Pass/Fail” test.
- 4.4.3 Suppliers shall provide a Compliance Statement (Appendix E) confirming the acceptance or otherwise of the proposed form of Contract.
- 4.4.4 The Council reserves the right to Fail a submission to protect its position from exposure to what it considers to be an unacceptable level of risk or expenses, arising because:
- Of the Bidder's mark-up of the contractual documentation; or
  - The Bidder has failed to submit the contractual documentation at all and also failed to confirm its unqualified acceptance of the terms;
- 4.4.5 The Council is committed to providing Bidders with all necessary comfort during negotiations that this “Fail” criteria will not be exercised capriciously but will be used to protect the Council from what it considers to be un-fundable and/or wholly disproportionate expense or an unacceptable level of risk. A "Fail" will mean that a Bidder's tender will not be evaluated.

### 4.5 Technical Criteria (60%)

- 4.5.1 The technical criteria are divided into the sub-elements shown in Table A, above. Table A clearly maps out how each sub criterion is linked with the ISFT Questions in Appendix A and the weighting for each question. The Bidder is to answer all questions in Appendix A, as instructed and using the tender documentation provided.
- 4.5.2 The scoring principles set out in **Table B** are to be used for the technical evaluation of the Final Tender submission. The written responses will be marked out of 5 and a weighting applied to achieve the weighting stated in **Table A**. All Final Tender submissions will be evaluated against the criteria set out in the Tender Evaluation Matrix in **Table A**.

4.5.3 As per the Clarification issued on 16 July 2019, reference to the 'requirements' in the scoring table below should be interpreted as including reference to the "Council's Requirements" at section 2 of the ITT.

**Table B – Technical Method Statement Submission Scoring Principles**

Score Scoring Principles	
<b>0</b>	<b>Unacceptable</b> - Completely fails to meet requirements <sup>2</sup> or does not provide a response.
<b>1</b>	<b>Very poor</b> - Response significantly fails to meet the requirements <sup>3</sup> , contains significant shortcomings or is inconsistent with other elements of the response.
<b>2</b>	<b>Poor response</b> - Response falls short of achieving expected requirements <sup>4</sup> in a number of identifiable respects.
<b>3</b>	<b>Acceptable</b> - Response meets the requirements <sup>5</sup> in most material respects but is lacking or inconsistent in others.
<b>4</b>	<b>Very good</b> - Response meets the requirements <sup>6</sup> in all material respects
<b>5</b>	<b>Excellent</b> - Response meets the requirements <sup>7</sup> in all material respects and exceeds some or all the requirements.

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2-7 See paragraph 4.5.3 above

## 4.6 Commercial Criteria - Total Cost to Deliver the Works (35%)

### *Pricing Document*

- 4.6.1 It is a tender requirement for the pricing document (Revision 4 as issued to bidders on 2 August 2019) to be completed in its entirety. The Bidder shall refer to the Preambles section of that pricing document for explanation on how to complete the document, including information on the elements and principles that must be followed in providing the Total of the Prices. The Bidder is also to have regard to the Clarifications and should ensure that all Clarifications which affect the total cost to deliver the works are addressed within their final pricing submission either in an associated line item of the pricing document or the new commentary section which has been added to the relevant work area. No additional line items or commentary should be introduced other than as is required to address the Clarifications and tenders that seek to introduce additional items may, at the discretion of LBB, be deemed to be non-compliant and disqualified.
- 4.6.2 The Bidder is to allow for all costs arising from compliance with all aspects of the Works Information, all other matters contained within this document and all other matters affecting the works.
- 4.6.3 The Bidder is to complete the possession schedule and NR supply chain organisation section of the pricing document in accordance with the Preambles. Bidders should have regard to the possessions guidance which was issued on 22 July 2019 and submit a possession schedule in accordance with that guidance.
- 4.6.4 The Bidder should satisfy itself as to the full extent and nature of the works, as no claim shall be entertained for failure to do so and no payment shall be made for additional work carried out at the discretion of the Bidder in addition to that requested.

### *Pricing Assumptions*

- 4.6.5 All pricing assumptions and exclusions must be clearly and accurately indicated in the pricing document, and appropriately cross-referenced in any contract mark-up.
- 4.6.6 Bidders must not include any assumptions which have not been discussed and agreed with LBB. The agreed position on assumptions was confirmed to bidders in the Clarification titled 'Supplier specific responses to assumption and exclusion register' and any tenders that seek to introduce further assumptions may, at the discretion of LBB, be deemed to be non-compliant and disqualified.

## 4.7 Commercial Evaluation Principles

4.7.1 LBB's evaluators will calculate the Total Cost to Deliver the Works by adding the estimated costs associated with possessions that the Bidder has requested to complete works ("the Estimated Possession Costs" - Section 16 of the pricing document) and the NR Supply chain costs ("the NR NSC Costs" - Section 15 of the pricing document) which has been requested by the Bidder r to the tendered Total of the Prices. It is this "Total Cost to Deliver the Works" that will be scored and has the 35% allocation weighting. The following calculation summarises the above:

$$\text{Total Cost to Deliver the Works (35\% Weighting)} = \text{Total of the Prices} + \text{Estimated Possession Costs} + \text{NR NSC Costs}$$

4.7.2 The Total Cost to Deliver the Works will be evaluated in accordance with the methodology described in **Table C** below with example figures.

4.7.3 The lowest commercially compliant Total Cost to Deliver the Works submission will automatically score the full weighting allocation (W) of 35%. With the 2<sup>nd</sup> and 3<sup>rd</sup> price ranked submissions being scored using the formula shown below in **Table C**. In this table, the Total Cost to Deliver the Works (Tendered Total Cost) is scored in relation to the Lowest Total Cost to deliver the Works (Lowest Total Cost), using the formulae below:

$$\text{Percentage Score} = 1 - \left( \frac{\text{Tendered Total Cost} - \text{Lowest Total Cost}}{\text{Lowest Total Cost}} \right) \times W$$

4.7.4 The worked examples use purely hypothetical data for the sole purpose of demonstrating how the evaluation methodology will be applied to score the Commercial submission. Although not demonstrated in the examples, no tender can score a percentage score of less than 0%.

**Table C – Example Scoring Methodology for Total Costs to Deliver the Works**

Description	Formula	Tenderer		
		T1 £M	T2 £M	T3 £M
Total Cost to deliver the works	TendCost	£4.0	£5.0	£6.0
Lowest submitted Total Cost to deliver the works	LowestCost	£4.0		
Calculation	1 - ((TendCost -Lowest Cost) /LowestCost))	1.00	0.75	0.50
<b>Total %</b>	<b>35% of Total score</b>	<b>35.00%</b>	<b>26.25%</b>	<b>17.50%</b>

#### 4.8 Contract Data Fee Percentages (5%)

4.8.1 The **Contractor Fee Percentages** section of the pricing document is required to be completed by the Bidder which identifies their Working Area Overhead, Manufacture & Fabrication, Design, Sub-contracted & Direct Fee's against an example Compensation Event of £100k actual cost. LBB requires that the Bidder's submitted fee percentages will be the same if the Bidder was chosen to enter into contract with LBB to deliver the project.

4.8.2 The lowest commercially compliant fee percentages submitted will automatically score the full weighting allocation (W) of 5%. With the 2nd and 3rd price ranked submissions being scored using the formula shown below in Table D. In this table, the Tendered Fee Percentage (TendFP) is scored in relation to the Lowest Fee Percentage (LowestFP), using the formulae included in table D below:

**Table D – Example Scoring Methodology for Fee Percentage**

Description	Formula	Tenderer		
		T1 £K	T2 £K	T3 £K
Tendered Fee Percentage	TendFP	£10	£13	£15
Lowest Fee Percentage	LowestFP	£10		
Calculation	$1 - ((\text{TendFP} - \text{LowestFP}) / \text{LowestFP})$	1.00	0.70	0.50
<b>Total %</b>	<b>5% of Total score</b>	<b>5.00%</b>	<b>3.50%</b>	<b>2.50%</b>

## 5. Platform Construction Sequencing

5.1.1 As per the Clarification issued on 17 July 2019, LBB requires Bidders to submit their submissions based on the platform construction sequencing option known as Scenario 2. Please ignore all references to Scenario 1 in the Works Information/ Works Delivery.



## Appendix A: Technical Submission Method Statements

Suppliers are required to submit the following project specific method statements as part of the Tender submissions.

<b>Q1</b>	<b>CDM Requirements</b> <b>(Pass/Fail)</b> Please confirm you are willing to undertake the role of Principal Contractor under Construction, Design and Management Regulations 2015 (CDM) and able to discharge the role of Principal Designer if appointed to those roles?
	Yes <input type="checkbox"/> No <input type="checkbox"/>

<b>2</b>	<b>Delivery Team 8%</b>
<b>Q</b> 2.1	<b>Organisation Chart Structure (3%):</b> Submit your proposed organisation chart to deliver the project in accordance with the Council's Requirements. Include any external consultants (e.g. Design companies and Subcontractors) clearly identifying their engagement status. If you intend to use staff on a part time basis, please ensure that a percentage is allocated to part time staff stating their allocation to the project. For each key role provide a description of the role to be performed on the project as well defining the responsibilities and deliverables of the position.
	<b>Guidance (as per paragraph 4.2.6)</b> Clear demonstration of commitment to provide the appropriate quantum and level (i.e. expertise) of resourcing during all stages of the project in order to deliver the Council's Requirements



<p>Q 2.2</p>	<p><b>Capable Individuals (3%):</b></p> <p>Provide details of named key role individuals (in alignment with your proposed organisation Structure) and your proposal demonstrating how these individuals are capable within their specified roles to contribute to the delivery of project (CV's to be provided including relevant qualifications and experience). The roles that require individual proposals are:</p> <p>Project Director, Project Management lead, Construction Management lead, Contractor's Engineering Manager, Contractor's Responsible Engineers (Civils, MEP and Telecoms, for both Design &amp; Construction where individuals are different), Planning lead, Commercial lead and H&amp;S lead.</p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>Clear demonstration of your organisation's capability through provision of suitably qualified and experienced project team members to deliver the Council's Requirements.</p>

<p>Q 2.3</p>	<p><b>Retention of Skills and Capability (2%):</b></p> <p>Demonstrate how your organisation intends to ensure that knowledge, skills and capability of the people working on the project is retained throughout the project life cycle, focussing on when people within key roles transition on and off the project.</p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>Clear demonstration of your organisation's commitment to provide project team continuity for the whole life of the project, explaining how staff turnover will be managed and the resilience of your organisation to such change.</p>

<b>3</b>	<b>Design and Assurance (Total 12%)</b>
Q 3.1	<p><b>Design Assurance Plan (7%):</b></p> <p>Submit your organisation's proposed design management and assurance plan based on the provided GRIP 4 design documents and Works Information. It is to demonstrate and describe the following:</p> <ul style="list-style-type: none"> <li>a) All key design deliverables including how the design will be packaged and delivered, referring to the Works Information &amp; engineering documentation included within.</li> <li>b) Indicate how and when approvals are planned to be secured to meet programme timescales as well as identifying proposals for progressive assurance throughout the design and construction process.</li> <li>c) Describe how you will ensure the design is fully integrated (incorporating any specialist sub-contractors if necessary) and meets the requirements set out in the Works Information (including Maintainability).</li> <li>d) Explain how you will manage NR's Life Cycle Costing Process for this project.</li> <li>e) Describe how design risk will be identified and managed.</li> <li>f) Explain how design integration with key interfacing projects (as identified in the Works Information and Site Information) will be managed, in particular with Brent Cross South's (BXS) eastern entrance building design and the sidings and rail system design.</li> </ul> <p><i>Responses to the question points a to f will be evaluated in its entirety.</i></p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>Clear demonstration that your organisation understands NR's assurance process, the complex work sequence and integration with other projects to deliver the Council's Requirements, ensuring timescales are met without compromising NR's assurance processes and signoffs. Your response should also demonstrate your organisation's ability to maintain a Progressive Assurance plan to manage delivery of the Council's Requirements.</p>

<p>Q 3.2</p>	<p><b>Value Engineering (5%):</b> Identify any value engineering opportunities that your organisation has identified based on the Works Information and Site Information provided. In your proposal you should identify the description of the value engineering opportunity, steps involved in realising the opportunity, any cost/time saving opportunities, any other associated benefits or disadvantages and the likelihood/probability of realising the opportunity.</p>
	<p><b>Guidance (as per paragraph 4.2.6)</b> Realistic Value Engineering proposals and the likelihood/probability of those translating into cost/programme savings and/or better delivery of Council's requirements throughout the project and the life of the asset.</p>

<p><b>4</b></p>	<p><b>Methodology (Total 15%)</b></p>
<p>Q. 4.1</p>	<p><b>Construction, Testing and Commissioning (12%):</b> Submit your organisation's proposed methodology for the delivery of the project. It is to include, but not be limited to the following:</p> <ul style="list-style-type: none"> <li>a) Identification of proposed sequencing of the works, including indicative sketches / marked up images;</li> <li>b) Identification of key interface points / areas / timings with Others and the proposal for managing these interfaces;</li> <li>c) Particular focus on the proposed sequencing and integration of the proposed platform construction, identifying possession requirements and how these works would be safely integrated with Others;</li> <li>d) Proposals for management of works during possessions;</li> <li>e) Methods to be employed to prevent damage/disruption to the operational railway (including prevention of possession overruns) and methodology for working adjacent to live railway /OLE;</li> <li>f) Site access/egress arrangements along with logistics (including transport and haulage of material);</li> </ul>

	<p>g) Proposed welfare / site set up facilities &amp; locations;</p> <p>h) Proposals for provision of power to the works;</p> <p>i) Proposals for management of waste;</p> <p>j) Propose your testing and commissioning strategy (including proposed processes and regime) in readiness for asset handover;</p> <p>k) Proposals for obtaining progressive assurance of construction documentation (especially WPPs) to prevent delays to the works;</p> <p>l) Demonstrate how you will manage on-going construction assurance on the project, identifying how key stakeholders such as NR, TOC, BXS would be involved in the process;</p> <p>m) Indication of favoured check sheets, i.e. paper or electronic; and</p> <p>n) Other quality management proposals for the project.</p> <p><i>Responses to the question points a to n will be evaluated in its entirety.</i></p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>Comprehensive and robust methodology that demonstrates your organisation's understanding of and your ability to deliver the Council's requirements specifically taking into consideration all key project constraints and interfaces.</p>
4.2	<p><b>Handover strategy (3%):</b></p> <p>Submit your organisations proposed Handover strategy for the project that meets all key stakeholders' requirements managing all interfaces. This should include details of how you will minimise risk to handover by engaging with stakeholders throughout the design &amp; construction of the works.</p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>Understanding of the council's and all stakeholders' requirements in relation to a Handover Strategy identifying all required handover tasks and approvals.</p>

<b>5</b>	<b>Programme for delivery (10%)</b>
Q.	<b>Programme (7%):</b>
5.1	<p>Submit your organisation's proposed programme (in both PDF and P6 XER format) for the delivery of the project by May 2022, with an easy to follow narrative. It must, in a clear way identify:</p> <ul style="list-style-type: none"> <li>a) All key milestones and activities;</li> <li>b) Durations for approvals, design and construction</li> <li>c) Any float and risks including logic links,</li> <li>d) Interdependencies and the Critical Path.</li> <li>e) Possession dates, including extent of the possession and duration.</li> </ul> <p><i>Responses to the question points a to e will be evaluated in its entirety.</i></p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>A robust and feasible programme accompanied with narrative, demonstrating your organisation's understanding and ability to deliver the Council's requirements by May 2022.</p>

Q.	<b>Possession Planning and Management (3%):</b>
5.2	<p>Complete the Possession Schedule included in the pricing document to include your required possessions to deliver the works. This shall include an outline of the proposed works that are to be undertaken within each identified required possession.</p> <p>The Possession Schedule should be accompanied with a narrative below to outline how you will manage the possession booking and management process.</p>

<b>Guidance (as per paragraph 4.2.6)</b> Understanding of the Network Rail's Possession planning requirements and how this will be planned and managed to deliver the programme

<b>6</b>	<b>Delivery Risk Identification (5%):</b>		
Q.	<b>Risk Register (3%) 500 words per Risk ID:</b>		
6.1	In the format provided, You are required to provide your management and mitigation plans for the risks identified below.  <b>Guidance (as per paragraph 4.2.6)</b> Ability to offer effective risk management and mitigation plans.		
Risk ID	Description	Phase Impact	Mitigation Strategy
1	Possessions required for station construction are not available	Construction	
2	Additional possessions (in addition to those included in the Possessions Schedule) are required by the Contractor to complete the works	Construction	
3	Interface complexities with Others (design, construction, CDM etc.) result in delays to the station D&B programme	Design & Construction	
4	Constructing slow line platforms requires additional works to be undertaken adjacent to live operational railway due to change in programme sequencing or duration or complexity of works being greater than anticipated	Construction	
5	Difficulties and delays in obtaining approvals of design and assurance documents from the	Design & Construction	



	TOC, NR, BXS and / or other regulatory body.		
6	Difficulties and delays in obtaining sign off of completed works and / or achieving handover / entry into service	Construction & Handover	
7	Possession overruns occur due to Contractor works failing to be completed within planned times (Possessions / Closures), causing delays to train services and resulting in	Construction	
8	Risk of encountering unforeseen ground conditions, undetected utilities or invasive species.	Construction	
9	Weather conditions prevent planned works being undertaken, particularly during planned disruptive possessions e.g. lifting of steelwork being prevented by high winds.	Design & Construction	
10	Suspension or restriction of works resulting from strict planning and environmental requirements (including the Contractor being unable to obtain satisfactory S61 consent) or due to a breach of conditions or complaints, causing delays to the programme.	Construction	

Q.	<b>Risk Identification and Mitigation: (2%) 500 word per mitigation strategy:</b>		
6.2	In the format provided, identify your top 5 additional risks that could hamper the successful delivery of the Council's Requirements. Risks may be internal or external factors.		
	<b>Guidance (as per paragraph 4.2.6)</b>		
	Ability to identify additional key project risks and offer effective management and mitigation plans.		
Risk ID	Risk Description	Phase Impact	Mitigation Strategy
C1			

C2			
C3			
C4			
C5			

<b>7</b>	<b>Social Value (Total 3%)</b>
Q.	<b>Social Value (3%):</b>
7	Your organisation is required to submit a proposal describing how it would bring added social value to this contract. This should include but does not need to be limited to supporting the local community, Local economy and creating Training, Employment and Supply Chain opportunities for local SMEs, Social Enterprises and voluntary sectors. Your response should demonstrate how your organisation would deliver social, economic or environmental value through the delivery of the project.
	<b>Guidance (as per paragraph 4.2.6)</b> Commitment to Maximising Social, Economic and Environmental Value through the delivery of the project. You should confirm that your proposals will be supported by appropriate contractual commitments to this effect.

<b>8</b>	<b>Stakeholder Management &amp; Community Engagement (Total 2%):</b>
Q.	<b>Stakeholder Management &amp; Community Engagement (2%):</b>
8	Your organisation is required to submit your proposed stakeholder management and Community Engagement plan to deliver the council's requirements. This plan should include your engagement and communications strategy with key stakeholders including but not limited to residents, businesses, Councillors and other development partners on this project.

<b>Guidance (as per paragraph 4.2.6)</b>
Engage and manage stakeholders, the community and the client provision of customer services commitment and communication plan to deliver the Council's requirements.

<b>9</b>	<b>HSE Management Plan (5%)</b>
<b>Q</b>	<b>Key Occupational Health Risks Areas (2%)</b>
9.1	<p>In relation to this project and relating to the construction workforce and others who could be affected by the works, the applicant is to supply:</p> <p>a) A description of the approach to managing Occupational Health on the project how this aligns with Industry Best Practice e.g. pre-start screening, ongoing monitoring, Occupational Health provision on site etc.</p> <p>b) Details of the Occupational Health Professionals (nurses, hygienists etc.) that will support the detailed design and construction phases of the projects and the percentage of their time that will be allocated to the project</p> <p>c) The processes/procedures for the management of Occupational Health through the design and construction phases, of particular interest is how the Principles of Prevention (Hierarchy of Controls) are applied i.e. how Elimination and Reduction of the hazards are implemented and assured rather than relying on on-site procedures and PPE to minimise the effect of exposure.</p> <p><i>Responses to the question points a to c will be evaluated in its entirety.</i></p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>Demonstrate your organisation's ability to provide Occupational Health and safety provisions suitable for the safe delivery of the project.</p>

<p>Q</p> <p>9.2</p>	<p><b>HSE Risk Mitigation (2%):</b></p> <p>Please provide and describe your proposed arrangements for managing and mitigating risks in relation to construction methodology, sequencing/ programming and management, for ensuring that its HS&amp;E (must include Environment as well as H&amp;S risks) measures will be effective in reducing/preventing incidents, accidents and adverse environmental impacts during the construction phase and subsequently operation and maintenance of the future asset/s. The arrangements should:</p> <p>Address the how key risks will be highlighted in the design and planning of the construction activities and wider project challenges will be managed</p> <p>a) Detail how the arrangements will be implemented effectively on this project to achieve excellent HS&amp;E performance</p> <p>b) Clearly demonstrate continual improvement and incorporating lessons learnt from previous projects/wider industry.</p> <p><i>Responses to the question points a and b will be evaluated in its entirety.</i></p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>Demonstrate your organisation's ability to identify and mitigate HS&amp;E risks suitable for the safe delivery of this project.</p>

<p>Q</p> <p>9.3</p>	<p><b>Workforce engagement (1%)</b></p> <p>Describe the procedures you have in place to involve your staff/workforce in the planning and implementation of HS&amp;E measures? Please provide a statement explaining how the workforce and the supply chain are actively involved in the planning and implementation of HS&amp;E measures and process. The description will be supplemented by evidence of how this is achieved and is effective. You may incorporate evidence from previous projects to illustrate how the approach will be implemented effectively on this project. The submission should demonstrate:</p> <ul style="list-style-type: none"> <li>a) Clear procedure (or statement) on how the workforce is consulted with regards HS&amp;E in the construction</li> <li>b) Compliance with the project requirements</li> <li>c) Compliance with legal requirements</li> <li>d) How the approach is appropriate for activities of the nature and scale envisaged under this procurement</li> </ul> <p><i>Responses to the question points a to d will be evaluated in its entirety.</i></p>
	<p><b>Guidance (as per paragraph 4.2.6)</b></p> <p>Demonstrate your organisation's ability to consult and engage with staff/workforce in planning and implementing all required HS&amp;E measures for the safe delivery of the project.</p>
Empty space for response	

## Appendix B – Form of Undertaking

### LONDON BOROUGH OF BARNET

**Tender for the provision of delivery of the Detailed Design, Construction, testing, commissioning and handover (GRIP 5-8) of the new Brent Cross West (BXW) station.  
Contract ref 701864**

#### Form of undertaking

To: The Mayor and Burgesses of the London Borough of Barnet, 2 Bristol Avenue, Colindale, London NW9 4EW (the "Council")

- (A) We certify that the information supplied in our Final Tender (FT) is accurate to the best of our knowledge.
- (B) We understand that false information could result in our Final Tender being rejected and not being considered by the Council.
- (C) We confirm that we accept the conditions and undertakings set out in the ISFT.
- (D) We confirm that we shall ensure that any of our current or future partners in relation to this project shall adhere to the same conditions.
- (E) If we are selected by the Council as its preferred partner, we undertake at the instruction of the Council (in its absolute discretion) to promptly enter into a bond and/or parent company guarantee as required.
- (F) We offer to Provide the Works in accordance with the Contract Data part one and the attached Contract Data part two for a sum to be determined in accordance with the conditions of contract.
- (G) I am the authorised signatory of the limited company mentioned below and am duly authorised to submit this submission and to bind the company.

I/We

.....

(Insert the full name of the Bidder including 'Ltd.' 'PLC' or as the case may be. N.B. if the legal name is a business name not followed by 'Ltd.' or 'PLC' or a similar expression, please state the legal nature of the Bidder e.g. partnership or incorporated unlimited company.)

of .....



.....  
.....(insert address)

or being a company registered in England/Scotland

..... (insert other country of incorporation)

whose registered number is

.....(insert company registration number)

and whose registered office is at

.....

.....(insert registered address of company)

Dated: .....

Signed: .....

Full name of signatory: .....

Capacity of signatory .....

On behalf of:  
(full name of Supplier) .....

## Appendix C – Certificate of Non-Collusion

### CERTIFICATE OF NON-COLLUSION

***In the case of a Consortium, each Consortium Member must complete and return this Certificate.***

To the Mayor and Burgesses of the London Borough of Barnet (“the Council”)

The essence of the public procurement process is that the Council shall receive bona fide competitive Tenders from all Suppliers. In recognition of this principle I/We certify that this is a bona fide Tender, intended to be competitive and that I/we have not fixed or adjusted the amount of the Tender or the rates and prices quoted by or under or in accordance with any agreement or arrangement with any other party.

I/We also certify that I/we have not done and undertake that I/we will not do at any time any of the following acts:

- a) communicate to a party other than the Council the amount or approximate amount of my/our proposed Tender (other than in confidence in order to obtain quotations necessary for the preparation of the Tender);
- b) enter into any agreement or arrangement with any other party that he shall refrain from tendering or as to the amount of any Tender to be submitted;
- c) offer or agree to pay or give or pay or give any sum of money inducement or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused any act or omission to be done in relation to any other tender or the proposed Tender; or
- d) enter into any type of agreement or arrangement with any other party aimed at distorting competition or the outcome of the competition

In this Certificate:

- the word “person” includes any person, body or association, corporate or incorporate
- the phrase “any agreement or arrangement” includes any transaction, formal or informal whether legally binding or not.
- the word “Tender” includes all tender submissions including Initial Tender submissions, Final Tender submissions together with the Clarifications

1 **SIGNED** .....

**POSITION** .....

2 **SIGNED** .....

**POSITION** .....

On behalf of .....

Date .....

## Appendix D - Certificate of Non-Canvassing

### LONDON BOROUGH OF BARNET

Tender for the provision of delivery of the Detailed Design, Construction, testing, commissioning and handover (GRIP 5-8) of the new Brent Cross West (BXW) station.  
Contract ref 701864

### CERTIFICATE OF NON-CANVASSING

*In the case of a Consortium, each Consortium Member must complete and return this Certificate.*

To the Mayor and Burgesses of London Borough of Barnet (“the Council”)

I/We hereby certify that I/we have not in connection with the award of the contract for the project or any other proposed contract for the Council

- canvassed any member, employee, agent of the Council
- undertaken to unduly influence the decision-making process of the Council
- undertaken to obtain confidential information that could confer upon an undue advantage in the award of the contract

and that no person employed by me/us or acting on my/our behalf has done any such act.

I/We further hereby undertake that I/we will not in the future do or seek to do the prohibited acts referred to above and that no person employed by me/us or acting on my/our behalf will do any such act.

1 **SIGNED** .....

**POSITION** .....

2 **SIGNED** .....

**POSITION** .....

On behalf of .....

Date .....

## Appendix E – Legal

**Suppliers should complete Appendix E.**

EITHER

We have no comments on the Contract terms and accept those terms

OR

We set out our comments below in the form agreed with LBB during the negotiation phase with no further amendments or revisions:

Contract Clause	Proposed change

Signature: .....

Name: .....

For and on behalf of: .....

Dated: .....

## Appendix F – Form of Tender

### Provision of Brent Cross West Station Detailed Design and Construction (GRIP 5-8) Contract Ref: 701864

#### FORM OF TENDER

To: The Mayor and Burgesses of the London Borough of Barnet, 2 Bristol Avenue,  
Colindale, London NW9 4EW (the "Council")

Having examined the specifications for the supply of services detailed in this Tender, we offer to supply the said services in conformity therewith for the sums as may be ascertained in accordance with the Tender documents.

I/We .....

**(Insert the full name of the tenderer including 'Ltd.' 'PLC' or as the case may be. N.B. if the legal name is a business name not followed by 'Ltd.' or 'PLC' or a similar expression, please state the legal nature of the tenderer e.g. partnership or incorporated unlimited company.)**

of .....

.....

..... **(Insert address)**

or being a company registered in England/Scotland

..... **(Insert other country of incorporation)**

whose registered number is ..... **(Insert company registration number)**

and whose registered office is at **(Insert registered address of company)**

.....

.....

I/We acknowledge that unless and until this Tender is incorporated in a Form of Contract prepared by the Council's Borough Solicitor and executed by the Council, there shall not be a binding contract between me/us and the Council.



We understand that you are not bound to accept the lowest or any Tender you may receive and that more than one Tender may be accepted or part of one Tender may be accepted, all at the discretion of the council.

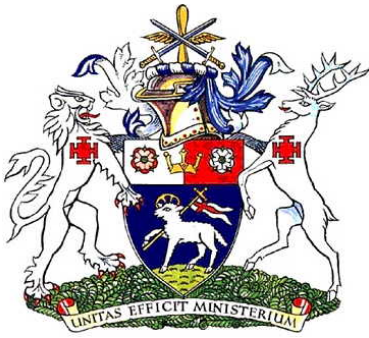
Dated: .....

Signed: .....

Full name of signatory: .....

Capacity of signatory: .....

On behalf of :(full name of tenderer) .....



## Policy and Resources Committee

### 3 October 2019

<b>Title</b>	<b>Street Naming and Numbering Policy</b>
<b>Report of</b>	Chairman of the Policy and Resources Committee
<b>Wards</b>	All
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	Yes
<b>Enclosures</b>	Appendix 1 – Street Naming and Numbering Policy
<b>Officer Contact Details</b>	<p>Fabien Gaudin – Head of Development Management  <a href="mailto:fabien.gaudin@barnet.gov.uk">fabien.gaudin@barnet.gov.uk</a> 020 8359 4258</p> <p>Jessica Ferrie – Technical Manager <a href="mailto:jessica.ferrie@barnet.gov.uk">jessica.ferrie@barnet.gov.uk</a>  020 8359 4643</p>

### Summary

This report seeks to obtain approval for the proposed revised Street Naming and Numbering policy.

### Officers Recommendations

1. That the Committee considers and approves the updated Street Naming and Numbering policy as listed in Appendix 1.

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

- 1.1 The revision of the policy is required to provide an up to date framework for the London Borough of Barnet to operate the Street Naming and Numbering function effectively and efficiently for the benefit of residents, the emergency services, businesses and visitors.
- 1.2 The proposed changes are compliant with existing legislation and considers further guidance from the London Fire Brigades Pre-Determined Attendance Section and national BS7666:2006 standard of addressing, as well as common practices nationwide.
- 1.3 The policy has not been updated since 2001 and needs to be updated to reflect revised guidelines from our emergency services.

## **2. REASONS FOR RECOMMENDATIONS**

- 2.1 It is recommended that the Policy and Resources Committee approves the proposed revised Street Naming and Numbering policy, as the existing policy is out of date and does not reflect national best practice.
- 2.2 The revisions will greater enable Emergency Services and postal delivery services to find properties quickly and efficiently. This is particularly important given the ongoing delivery of new homes across the borough.

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

- 3.1 The alternative option is to not approve the new revised policy, however, this would result in the Council not delivering the Street Naming and Numbering functionality in accordance with national best practice. It could also lead to delays in finding properties in an emergency, as well as, residents experiencing significant addressing difficulties as they would be making application for names based on previous guidelines.

## **4. POST DECISION IMPLEMENTATION**

- 4.1 If the Committee is so minded to approve the recommended revised Street Naming and Numbering policy it will be implemented into working practice and published on the Council's website as soon as practicably possible.

## **5. IMPLICATIONS OF DECISION**

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

- 5.1.1 Approval and implementation of the new policy for Street Naming and Numbering will support the Council's Corporate Plan for 2019-2024 in it's vision and strategy for the next 5 years with a number of priorities. The revised policy will ensure clear and updated guidance / instructions for developers to enable a smoother process for them to secure approval; helping developers to comply

with emergency services requirements for naming and numbering properties.

5.1.2 The specific corporate objectives it therefore contributes towards are:

- a) Supporting local business to thrive by streamlining access to the Council for businesses, and encouraging residents and local businesses to play an active role in shaping their high streets.
- b) Responsible delivery of major regeneration schemes to create a better place to live and work, whilst protecting and enhancing the borough and prioritising Barnet residents by increasing housing supply to ensure greater housing choice for residents.

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

5.2.1 The implementation of the new policy will have no implications on resources.

## 5.3 **Social Value**

5.3.1 The Public Services (Social Value) Act 2012 is not applicable to this policy.

## 5.4 **Legal and Constitutional References**

5.4.1 The council's Constitution, Article 7 Committees, Forums, Working Groups and Partnerships, sets out the functions of the Policy and Resources Committee: To be responsible for amongst other things Strategic policy, finance and corporate risk management including recommending: Capital and Revenue Budget; Medium Term Financial Strategy; and Corporate Plan to Full Council.

## 5.5 **Risk Management**

5.5.1 The risks have been assessed and the main risk associated with not updating the Policy is the speed of response of the emergency services and delaying their ability to find addresses due to non-compliant addressing.

## 5.6 **Equalities and Diversity**

5.6.1 The 2010 Equality Act outlines the provisions of the Public-Sector Equalities Duty which requires Public Bodies to have due regard to the need to eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010 advance equality of opportunity between people from different groups foster good relations between people from different groups. These have been considered with regard to the recommendation for authorisation to implement an updated SNN Policy and it is not considered that an Equalities Impact is required.

## 5.7 **Corporate Parenting**

5.7.1 In line with the 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 implications for Corporate Parenting in relation to this report.

## **5.8 Consultation and Engagement**

5.8.1 Engagement has taken place with the London Fire Brigade and Local Land and Property Gazetteer Custodians within Barnet.

## **5.8 Insight**

5.8.1 None in the context of this report.

## **6. BACKGROUND PAPERS**

6.1 The existing policy was approved by Cabinet Committee on 15<sup>th</sup> October 2001. This policy provided a basic set of guidelines that incorporated the emergency services best practices.





## Street Naming and Numbering Policy

Author:	<i>Jessica Ferrie</i>
Date:	<i>September 2019</i>
Service / Dept:	<b>Street Naming and Numbering</b>

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**APPENDIX A** – Legislation

**APPENDIX B** – Applying for Street Naming and Numbering – Applicant’s Guidance

**APPENDIX C** – Conventions and Best Practice Addressing Classifications

**APPENDIX D** – Frequently Asked Questions

**APPENDIX E** – Distribution List

**APPENDIX F** – Official Address Vs. Postal Address

**APPENDIX G** – Glossary

**APPENDIX H** – References

## 1. Purpose of Policy

---

- 1.1. This policy provides a framework for the London Borough of Barnet to operate the Street Naming and Numbering function effectively and efficiently for the benefit of residents, the emergency services, businesses and visitors. It will also act as a guide for developers when considering new names for streets and/or buildings and the numbering of buildings.
- 1.2. The London Borough of Barnet is the Street Naming and Numbering Authority and is the only organisation that can create or change addresses within its boundaries. Under the London Building Acts (Amendment) Act, 1939 (referred to as the 1939 Act), the Local Authority has the legal responsibility to ensure that streets are named and buildings are numbered and has the powers to approve or reject street and building address suggestions submitted by developers.
- 1.3. This policy defines:
  - (i) Legal framework for operation of the Street Naming and Numbering service
  - (ii) Protocols for determining official street names, building names and building numbers
- 1.4. The Local Authority defines all elements of an address, with the exception of the postcode and post town. The numbers and names assigned to buildings and the official names assigned to streets are the Intellectual Property of the authority.
- 1.5. Our Street Naming and Numbering service will:
  - Assign street names and street numbers to new and existing streets, houses and buildings
  - Carry out renaming and renumbering of streets, houses and buildings
  - Liaise with the London Emergency Services and Royal Mail to ensure that any proposed names or street numbers do not cause confusion to these services in carrying out their duties
- 1.6. The conditions in this policy may be perceived to be restrictive, however, the policy's purpose is intended to create logical addressing that provides clear and swift identification without ambiguity or confusion, especially in the event of an emergency situation.
- 1.7. The London Borough of Barnet is aware of current address anomalies within the borough, which have caused problems and the intention is that these will be corrected as opportunities arise by following the conventions laid out in this policy.

## 2. Reasons for Street Naming and Numbering

- 2.1. Street Naming and Numbering is an important function that allows the Local Authority to maintain a comprehensive and accurate address database covering all street and properties within the borough. In turn this enables:
  - Emergency Services to find a property quickly and efficiently
  - Post to be delivered efficiently
  - Visitors to locate their destination
  - Records of service providers to be kept in an efficient manner
  - All of the Local Authority's departments to work from one official address base
  - Reliable delivery of services and goods by courier companies

- Companies to accept an address for official purposes. For example, insurance, credit rating, contract acceptance
- 2.2. Legal transactions associated with buildings can be withheld until a street name and street number can identify the building. For instance, utility companies will not generally connect their services until such time as the Local Authority has given an Official Address to the building. Many developers also often forget to formally submit an application to Street Naming and Numbering requesting new streets to be named and buildings to be numbered until it becomes urgent, sometimes causing a delay in the sale of properties.

### 3. When to apply for Street Naming and Numbering

- 3.1. Anyone seeking an address change or the creation of an address for a new street and/or building should apply to the Local Authority, preferably electronically, following the procedures detailed in this policy. For full details on how to apply, see Appendix B.
- 3.2. It should be noted that the Street Naming and Numbering process can be a lengthy one. Therefore, it is advisable to submit an application as early as possible in the proposal stage, preferably before works commence and ideally before an unofficial name has been marketed or legal documents drafted.
- 3.3. Where applications are submitted to the Local Authority at a late stage and are subsequently rejected, as proposed addressing does not conform to this policy, numerous problems can arise, especially if purchasers have brought properties marketed under an unapproved name. Promotional literature should indicate to prospective purchasers that marketing names are subject to approval and may change. It is, therefore, advisable to be cautious in the use of names for marketing purposes if the name has not been authorised by the Local Authority.
- 3.4. On receipt of an application, you will receive an acknowledgment and an estimated length of time required for the Street Naming and Numbering process to be completed. The time taken for an application is dependent on a number of factors, such as the complexity of the site and the potential need to carry out consultation(s). Major development/redevelopment sites, depending on size, generally take longer as the process is often dependent on new street names being approved. The process is lengthened further if there are any objections to any part of the proposal. Straightforward changes of addresses or request for new addresses can usually be processed in 5-6 weeks.
- 3.5. The following is required for applications relating to larger sites, alongside submission of an application form:
- A location plan clearly identifying the new scheme in relation to any existing streets
  - Any requirements for new streets must include georeferenced CAD drawings and the road adoption status must be identified, e.g. private or adopted (maintained by the relevant Highway Authority)
  - A detailed plan of the development clearly marked with the plot numbers of the proposed scheme
  - Internal floor layout plans for developments which are subdivided at floor level, e.g. a block of flats or commercial/industrial units
  - Where there are subdivisions, main entrances of each unit/plot must be clearly marked

## APPENDIX 1

- All residential and commercial units must have unique plot numbers and an accommodation schedule should be provided
- 3.6. Applications for both naming and numbering are subject to the Local Authority approval and statutory consultation with:
1. London Fire Brigade
  2. Royal Mail
- 3.7. Street naming applications within built-up areas may be subject to full public consultation:
- Where a new road name is being sought, we will issue a full public consultation where a Notice of Intention will be posted in a public location in the vicinity of the site. This notice will stay in place for one month and during this time local residents will be encouraged to voice opinions or raise objections about the proposed name(s), all of which the Local Authority will consider in making its decision.
- 3.8. In the event of objections, which cannot be overcome through negotiation between the applicant and the Local Authority Street Naming and Numbering Officer, the matter will be presented to the Service Director for a decision.
- 3.9. Where a developer/owner has ignored a Street Naming and Numbering Decision Notice or where it has been identified that there is a problem caused by an existing address, the Local Authority may undertake Compulsory Numbering, a process that mandates the use of a new address. Compulsory Numbering will incur charges if a developer has ignored a Decision Notice but may, however, be free of charge at the discretion of the Local Authority, if undertaken to fix an existing problem or reduce confusion arising from an existing address.
- 3.10. Retrospective numbering undertaken when a developer has failed to apply for Street Naming and Numbering but requires addresses for an existing building will be subject to charge.

## 4. Street Naming and Numbering Legislation

- 4.1. As a London borough, Barnet is granted Street Naming and Numbering authority by Part II of the London Building Acts (Amendment) Act 1939. This was amended by Section 43(1) of the London Government Act 1963, which extended the remit of the Act to the whole of Greater London (instead of just Inner London as before). In 1985, with the elimination of the Greater London Council (Local Government Act 1985, Schedule 8, Section 14 (1) (a)), the entirety of street naming and numbering was transferred to the London Local Authorities, where it remains today.
- 4.2. The Legislation under which naming and numbering can be carried out is:
- The London Building Acts (Amendment) Act 1939, Part II
  - London Government Act 1963, Section 43
  - Local Government Act 1985, Schedule 8, Section 14 (1)
  - The Local Government Act 2003 s93

## 5. The National Land and Property Gazetteer (NLPG)

- 5.1. The NLPG is the authoritative national address database, which provides definitive sources of publicly owned spatial address and street data and is updated on a continual basis by every Local Authority in England and Wales, the bodies with statutory responsibility for street naming and numbering.
- 5.2. The London Borough of Barnet is committed to this initiative through its Local Land and Property Gazetteer (LLPG), which contains records for real world objects, such as streets and buildings providing daily updates to the national database.
- 5.3. The address records held by the London Borough of Barnet conform to the national BS7666:2006 standard of addressing as laid down by Central Government and reflect the geographical location of the property.
- 5.4. Each property is allocated a Unique Property Reference Number (UPRN). The UPRN is the unique identifier for every addressable location in Great Britain, which enables all information relating to a property to be gathered together. It provides a comprehensive, complete and consistent identifier throughout a property's lifecycle – from planning permission or street naming through to demolition. This identifier is required to carry out a Local Land Charges search when you wish to buy or sell a property.
- 5.5. The NLPG in turn, forms the core source of address information for AddressBase, a product suite marketed by Ordnance Survey and used by a range of public and private organisations.

## 6. Charging for the Street Naming and Numbering Service

- 6.1. The power to charge falls under Section 93 of the Local Government Act 2003.
- 6.2. For current Street Naming and Numbering fees and charges, please refer to the London Borough of Barnet's website [www.barnet.gov.uk](http://www.barnet.gov.uk)
- 6.3. For Street Naming and Numbering these charges cover:
  - Consultation and liaison with other external organisations, such as Royal Mail and the Emergency Services
  - The Naming and Numbering of new buildings (including conversions)
  - Alterations in either name or numbers to new developments after initial naming and numbering has been undertaken
  - Notifications to those organisations listed in Appendix E
  - Confirmation of addresses previously issued
  - Challenges to existing official names, numbers or addresses held within the Street Naming and Numbering records
- 6.4. These charges are to be paid prior to any change of address being made to a building. Changes made without contacting the London Borough of Barnet will not be officially recognised and will not be registered with services and organisations listed in Appendix E. They will be classed as a street naming and numbering contravention.
- 6.5. Fees and charges applicable for the Street Naming and Numbering service will be reviewed annually during the Local Authorities budget setting process and publicised

through the London Borough of Barnet's agreed communication channels including the website.

- 6.6. Additional charges will be incurred, up to the cost of the original application, if changes to the naming and numbering of a development need to be made once a Decision Notice has been issued.

## 7. Postcodes

- 7.1. An important element of addressing is the postcode. The Postcode allocation is the responsibility of Royal Mail, not the Local Authority. It identifies a number of postal delivery points and postal towns as defined by Royal Mail.
- 7.2. Royal Mail will only allocate a postcode on receipt of an official naming and numbering notification from the Local Authority. Once allocated, the address and postcode will be held in 'reserve', or as Royal Mail list it 'Not Yet Built' (NYB), until either the developer or owner notifies them that the property is occupied. Details of how to activate an address will be present in the official Street Naming and Numbering Decision Notice.
- 7.3. The London Borough of Barnet undertakes this process on the applicant's behalf and informs them and other interested parties once completed. The maintenance of postcode information and any future change to individual postcodes or postcode sectors is the responsibility of Royal Mail. The Local Authority accepts no responsibility or liability for the omission of postcode or post town information, nor of any failure of services arising from this omission.
- 7.4. Royal Mail do not publish addresses that have not been activated and/or unoccupied on their website. This means that, in certain cases, buildings that have been Officially Addressed by the Local Authority may not be visible to everyone using Royal Mail's website to validate an address. It may also mean that other organisations using their address database, Postcode Address File (PAF), will not be able to validate addresses.
- 7.5. Developers, owners and tenants should be aware that their building might not have the same postcodes as the surrounding or existing properties.
- 7.6. The Official Address, as held by the Local Authority, may differ to that held by Royal Mail, as their business needs and requirements differ. PAF is specifically designed to support the delivery of postal delivery services and Royal Mail do not accept any responsibility or liability for the use of PAF for any other purpose or intended use outside of the delivery of these services.
- 7.7. On average, there are 15 delivery points per postcode. However, this can vary between 1 and, in some cases, 100. There will never be more than 100 Delivery Points per Postcode.

## 8. Consultation and Notifications

- 8.1. It is a requirement that all London Boroughs consult with the Emergency Services before proceeding with any amendment or additions to street and building names. It is the function of the London Fire Brigade's Pre-Determined Attendance (PDA) Section to act as a liaison for all of the London Boroughs in respect of all Street



Naming and Numbering applications. Therefore, all proposed street and/or building names are sent for consultation, and the London Borough of Barnet will only accept the proposed names after approval is received.

- 8.2. For applications including a new street name(s) where there has been no objection from the London Fire Brigade's PDA Section, a Notice of Intention will be posted in a public location in the vicinity of the site for 28 days, allowing for objections to the name from the general public. If an objection is received within the deadline and the London Borough of Barnet upholds the objection, the process will need to re-commence and a new name be submitted from the owner/developer under guidance from the Street Naming and Numbering Officer. In the event of an objection being potentially contentious, the decision will be referred to the Service Director for final decision.
- 8.3. There are no statutory requirements for Local Authorities to provide details of changes to existing or new developments to any external organisation. However, it is recognised that the provision and sharing of this information facilitates better service delivery to the residents and business communities. Therefore, the Local Authority will notify the Emergency Services and Royal Mail via the NLPG hub, Local Authority bodies via internal emails and to external organisations listed in Appendix E.

## 9. Naming of Streets

- 9.1. The following street naming conventions are based upon the historic context of the London Borough of Barnet, national best practice and are designed to reflect comments from consultees, including the London Fire Brigade and Royal Mail.
- 9.2. Proposals for street names from developers and the public are welcome for consideration. However, it is recommended that more than one suggestion be put forward in case the primary suggestion fails to comply with this policy. It is advised that the developer, listed in preference order, for each proposed new street to negate objections, suggests at least three street names.
- 9.3. On receipt of an application for the naming of a new street(s), along with a site location plan and the appropriate fee, the London Borough of Barnet will check to ensure that the proposal is in accordance with the below Street Naming conventions and, if not, the Street Naming and Numbering Officer will contact the developer directly and advise.
- 9.4. If suggestions conform and do not meet with an objection(s) from the London Fire Brigade on behalf of the Emergency Services and our LLPG Custodian, a public Notice of Intention will be posted at the site of the new street, allowing 28 days for any objections to be submitted.
- 9.5. If an objection is received within the time period and the London Borough of Barnet upholds the objection, the developer will be informed of the objection and the reasoning, along with a request for further suggestion(s). Once received, the process will need to re-commence.
- 9.6. If no valid objections or responses are received within the consultation period, a Decision Notice with the street name(s) will be sent to the developer. However, if the application also requests the numbering of new a building(s) to be allocated on this new street, then it will not be until Royal Mail have confirmed the allocated postcode that a Decision Notice will be issued.

- 9.7. In the event of an objection(s), which cannot be overcome through negotiation between the developer and the Street Naming and Numbering Officer, the matter will be presented to the Service Director for a decision.
- 9.7.1. Previous street naming anomalies are not to be repeated. There are current anomalies in the London Borough of Barnet, which have caused problems and the intention is that these will be corrected as opportunities arise by following the conventions laid out in this policy.
- 9.8.
- 9.9. The Street Naming and Numbering Officer will use the following conventions when agreeing if a new street name is acceptable. Property developers and Councillors should follow these conventions for any names they wish to suggest.
- 9.10. **New Street Naming Conventions**
- 9.10.1. To help reinforce local/historical character, the London Borough of Barnet encourages street name suggestions that reflect the area's history, where possible.
- 9.10.2. When assigning a new street name in an area where existing streets have a theme, the name should, if possible, be in keeping with this.
- 9.10.3. On larger developments, comprising three or more streets, thematic names are to be used so that areas are easily identified.
- 9.10.4. If a 'local' name is not suitable, there is no reason why an alternative attractive name cannot be chosen.
- 9.10.5. New street names should not duplicate any similar name already in use within the Borough, neighbouring Boroughs or Emergency Services zones. A variation on the last word, the suffix, e.g. 'Street', 'Road', 'Avenue', will not be accepted as sufficient reason to duplicate a name. For example, if there is already a Margaret Road, Margaret Street will not be considered. This will be objected to as it can have a detrimental effect in an emergency situation.
- 9.10.6. Experience has shown that streets with few buildings are not well known and consequently difficult to find. Therefore, a new street name will not be allocated where there are less than three buildings to be numbered in the new street.
- 9.10.7. Street names with phonetically similar names within the same post town should be avoided, and if possible, within the borough, for example, Churchill Road and Birch Hill Road.
- 9.10.8. Street names should not be difficult to pronounce or awkward to spell as this may lead to confusion in an emergency situation or result in demands for a change of address from occupiers. Words with more than three syllables must not be used and this precludes the use of two words, except in special cases.
- 9.10.9. Street names must not commence with the word "The" and end with 's' where it could be construed as either possessive or plural.

- 9.10.10. All punctuation will be considered but avoided where possible within street names and addresses, as in practice, it can lead to variations in the use of punctuations, which can cause confusion.
- 9.10.11. Street names that may be considered or construed as obscene, racist or which would contravene any aspect of the Council’s Equal Opportunities policies will not be accepted.
- 9.10.12. All new street names should end with an appropriate suffix, which distinguishes a street from a building name or locality. The following list recommends usual practice:

Any street	<b>Road, Way</b>
Any thoroughfare	<b>Street</b>
Residential street	<b>Avenue, Boulevard, Drive, Grove, Lane, Place</b>
Small street, alley or courtyard	<b>Mews</b>
Any street, subject to there being no confusion with local open space	<b>Gardens</b>
For a crescent shaped road	<b>Crescent</b>
For a cul-de-sac ONLY	<b>Close</b>
For a hillside road ONLY	<b>Hill</b>
For a square ONLY	<b>Square</b>
For a large roundabout	<b>Circus</b>
Public square or promenade	<b>Parade</b>
For a line of terraced houses not facing on to an existing named street	<b>Terrace</b>
Residential roads – only for exceptional circumstances	<b>Vale, Rise, Row, Mead, Wharf, Dene</b>
Pedestrian access ONLY	<b>Walk, Path</b>
For open spaces ONLY, where it doesn’t duplicate surrounding areas for Parks	<b>Green</b>
For a street often lined with shops and closed to vehicles	<b>Mall</b>

- 9.10.13. The following suffixes will not be accepted for new streets:

End, Court, Cross, Side, Park, Meadow, Gate or Common

- 9.10.14. All new pedestrian ways are to end in one of the following suffixes: Walk, Path, Way or Passage
- 9.10.15. Street names without a suffix will not be approved. This is further to specific advice from the Emergency Services, as these types of addresses can lead to confusion and delayed service response time.
- 9.10.16. In instances where the recommended suffix clashes with other conventions within this policy, an alternative suffix will need to be used, for example, Mill Hill would not be acceptable.
- 9.10.17. The use of North, East, South or West is only acceptable where the street is continuous and passes over a major junction. It is not acceptable when the street is in two separate parts with no vehicular access between the two. In such a case half should be renamed.

- 9.10.18. The use of a name, which relates to people either living or deceased, should be avoided if possible. Personal names, which relate to developers' personal friends or relatives, will not be accepted. In order to avoid causing offence, either by inclusion or exclusion, no street shall be named after any living person.
- 9.10.19. For applications to name a street after a deceased person, written permission must be obtained from the person's family or estate administrators and provided to the London Borough of Barnet. In order to be considered the individual in question should:
- Have been dead for 20 years or have passed the centenary of their birth;
  - Have a significant and demonstrated connection to the site in question.
- 9.10.20. The London Borough of Barnet must obtain permission from The Lord Chamberlain's Office for the use of any street name with a 'Royal' connotation e.g. Royal, Queen, Duke, Princess, Prince, etc. For full details on the terms of use of Royal names, please visit [https://www.royal.uk/sites/default/files/media/royal\\_arms\\_blue\\_booklet20152.pdf](https://www.royal.uk/sites/default/files/media/royal_arms_blue_booklet20152.pdf)
- 9.10.21. Where a new street is an extension of an existing street, it is not normally necessary to give that section a new name, although on occasion this will be necessary.
- 9.10.22. The use of street names that can be construed as advertising or for the use of commercial gain are not acceptable.
- 9.10.23. The London Borough of Barnet reserves the right to object to any suggested street names deemed to be inappropriate.

## 9.11. Renaming of Existing Streets

- 9.11.1. Renaming of a street is a very time consuming process and may cause costs and/or disruption to individual occupiers and owners and should, wherever possible, be avoided. Hence, it is usually only done as a last resort, i.e. only if the existing name is causing consistent confusion and delay in locating the street for the Emergency Services, or if the layout of the street is changed. The renaming will be considered by the Service Director before residents and Ward Councillors involved are consulted.
- 9.11.2. Please note that the London Borough of Barnet has no legal obligation to reimburse owners/occupiers of buildings in which the street is officially renamed.
- 9.11.3. Where an existing street is dissected by the construction of a new street, the London Borough of Barnet may choose to rename either or both parts of the existing street. Consultation will be undertaken in these circumstances.
- 9.11.4. It should be appreciated that changing a street name can cause a great deal of inconvenience for residents. The London Borough of Barnet is therefore reluctant to make changes as a last resort. Before making any changes we will consult all residents affected by the proposals.
- 9.11.5. Where the need for renaming of a street is required, the proposed name must follow the naming conventions laid out in Section 9.9 'New Street Naming Conventions'.

- 9.11.6. When renaming a street, as much warning as is practicably possible will be given. The Decision Notice will be issued to owners/occupiers giving a specific date on which the new Street name comes into effect. This will be at least 4 weeks from the date of the Notice.

## 9.12. Naming of Existing Unnamed Streets

- 9.12.1. The naming of an unnamed existing street will be considered if:
- The lack of name is causing delay in locating the street. This can be a problem even though there are no buildings addressed in the street.
  - There is difficulty in the location of the buildings, which are using the nearest named street as their address. These can be private access roads.
- 9.12.2. When an existing unnamed street is to be named, the proposed names must follow that naming conventions as laid out in Section 9.9 'New Street Naming Conventions'.
- 9.12.3. When naming a previous unnamed street, as much warning as is practically possible will be given to those who will be affected by the change. The change may result in buildings being readdressed to the new street name. Owners/occupiers will be consulted and a Decision Notice will be issued to owners/occupiers, giving a specific date on which the new address will come into effect. This will be at least 4 weeks from the date of the Notice.

## 10. Naming of Buildings

- 10.1. The following building naming conventions are based upon the historic context of the London Borough of Barnet, national best practice, and are designed to reflect comments from consultees including the London Fire Brigade and Royal Mail.
- 10.2. It is not necessary to name a building, as every building should have a street number and street name, which are sufficient for finding and mail delivery purposes. However, building names can reinforce identity, e.g. when building a block of flats, it is an additional way for the block to be identified.
- 10.3. Proposals for building names from developers and the public are welcome for consideration. However, it is recommended that more than one suggestion be put forward in case the primary suggestion fails to comply with this policy. It is advised that at least three building names are suggested, listed in order of preference, for each proposed new building by the developer to negate objections.
- 10.4. On receipt of an application for a building name(s), along with a site location plan clearly identifying the entrance to the building(s) from the street and the appropriate fee, the London Borough of Barnet will check to ensure that the proposal is in accordance with the below building naming conventions. If not, the Street Naming and Numbering Officer will contact the developer directly and advise.
- 10.5. If suggestions conform and do not meet with an objection(s) from the London Fire Brigade on behalf of the Emergency Services, a Decision Notice with the new building name will be sent to the developer. However, if the application also requests the numbering of new buildings, a Decision Notice will not be issued until Royal Mail have confirmed the allocation of postcode.

- 10.6. The allocation of a building name is under the condition that the name will be in addition to the existing street number and not a replacement. The street number should always be displayed on the building and quoted as part of the address in all correspondence.
- 10.7. Previous numbering anomalies are not to be repeated. There are current anomalies in the London Borough of Barnet, which have caused problems and the intention is that these will be corrected as opportunities arise by following the conventions laid out in this policy.
- 10.8. The Street Naming and Numbering Officer will use the following conventions when deciding if a new building name is acceptable. Property developers and Councillors should follow these conventions for any names they wish to suggest.

### 10.9. Naming of Buildings Conventions

- 10.9.1. To help reinforce local/historical character, the London Borough of Barnet encourages building name suggestions that reflect the area's history, where possible.
- 10.9.2. When assigning a new building name in an area where existing buildings have a theme, the name should, if possible, be in keeping with this.
- 10.9.3. If a 'local' name is not suitable, there is no reason why an attractive name cannot be chosen.
- 10.9.4. On larger developments comprising two or more buildings with multiple occupancy, thematic names are to be used so that areas are easily identified, whilst their components are distinctive.
- 10.9.5. New building names should not duplicate any similar name already in use within the borough, neighbouring boroughs or Emergency Services zones. This includes the duplication of not only building names, but also street and geographic areas names. A variation in the suffix, e.g. 'Court', 'House', etc., will not be accepted as sufficient reason to duplicate a name, neither will a different spelling of the same word, such as Littleberrys and Littleberries.
- 10.9.6. Building names with phonetically similar names within a postal area are to be avoided, and if possible, within the borough, for example, Churchill House and Birchill House.
- 10.9.7. Names must not be duplicated within an address, e.g. Hendon House, Hendon Way.
- 10.9.8. Building names should not be difficult to pronounce or awkward to spell, as this may lead to confusion in an emergency situation or result in demands for a change of address from occupiers. Words of more than three syllables must not be used and this precludes the use of two words except in special cases.
- 10.9.9. No building name shall commence with the word "The" and end with 's' where it could be construed as either possessive or plural.



- 10.9.10. All punctuation will be considered but avoided where possible within street names and addresses, as in practice, it can lead to variations in the use of punctuations, which can cause confusion.
- 10.9.11. Building names that may be considered or construed as obscene, racist or which would contravene any aspect of the Council’s Equal Opportunities policies will not be accepted.
- 10.9.12. All new building names for residential, commercial and industrial use must end with one of the following suffixes:

Residential ONLY	<b>Court, Lodge, Apartments, Mansion, Villas</b>
Residential ONLY – High Block	<b>Point</b>
Residential or Commercial ONLY	<b>House, Buildings</b>
Residential or Commercial ONLY – High Block – 6 plus storeys	<b>Tower, Heights</b>
Mixed Business/Residential ONLY	<b>Studios</b>

- 10.9.13. For specialist buildings, such as Commercial Attractions, Retail, Emergency Services, Educational, etc., see Appendix C for conventions and best practice addressing, as specific suffixes should be allocated to facilitate easy identification of buildings and their relevant use.
- 10.9.14. Building names without a suffix will not be approved. This is further to specific advice from the Emergency Services, as these types of addresses can lead to confusion and delayed service response times.
- 10.9.15. The use of North, East, South or West is not permissible.
- 10.9.16. The use of a building name, which relates to people either living or deceased, should be avoided if possible. Personal names, which relate to developers’ personal friends or relatives, will not be accepted. In order to avoid causing offence either by inclusion or exclusion, no building shall be named after any living person.
- 10.9.17. For applications to name a building(s) after deceased person, written permission must be obtained from the person’s family or estate administrators and provided to the London Borough of Barnet. In order to be considered, the individual in question should:
  - Have been dead for 20 years or have passed the centenary of their birth;
  - Have a significant and demonstrated connection to the site in question.
- 10.9.18. The London Borough of Barnet must obtain permission from The Lord Chamberlain’s Office for the use of any building name with a ‘Royal’ connotation e.g. Royal, Queen, Duke, Princess, Prince, etc. For full details on the terms of use of Royal names, please visit [https://www.royal.uk/sites/default/files/media/royal\\_arms\\_blue\\_booklet20152.pdf](https://www.royal.uk/sites/default/files/media/royal_arms_blue_booklet20152.pdf)
- 10.9.19. The use of building names that can be construed as advertising or for the use of commercial gain are not acceptable.

- 10.9.20. Naming a building after a company is only acceptable if the company no longer occupies the building and there is a positive local association and does not cause confusion.
- 10.9.21. For commercial buildings, a business name shall not take the place of a street number or a building name and will not be recorded as part of the Official Address. However, these details can be held within the Royal Mail database. To add a company name, please visit [www.royalmail.com](http://www.royalmail.com) and complete a 'Name Change Request Form.'
- 10.9.22. No numbers are to be used within the name of a building.
- 10.9.23. If a street number does not exist, the building being named/renamed must be allocated a street number within the street that the entrance to the building lies.
- 10.9.24. Subsidiary names, such as a row of buildings within an already named street being called '..... Terrace/Parade', should only be used where there is no other alternative numbering sequence that can be used. For example, on an existing street that does not have a numbering sequence.
- 10.9.25. A named building may not have more than one street number in the same street. For example, Smith House, 1 High Street and Smith House, 10 High Street.
- 10.9.26. A named building cannot have more than one street name allocated to it. For example, if the building is on a corner, it cannot be known as Smith House on both High Street and Commercial Street.
- 10.9.27. The London Borough of Barnet reserves the right to object to any suggested building names deemed to be inappropriate.

## 10.10. Renaming of Buildings

- 10.10.1. Renaming of a building can be applied for through the submission of a Street Naming and Numbering application. When making a request to change the name of a building, the proposed name must follow the building naming conventions laid out in Section 10.9 'Naming of Buildings Conventions'.
- 10.10.2. Should the request be to rename a block of flats, all owners/occupiers must be in agreement with the proposed change before submitting an application to the Street Naming and Numbering department.
- 10.10.3. Compulsory renaming of a building may occur where it can be shown that the existing building name is causing consistent confusion or delays in locating the building for the Emergency Services. The Service Director will consider the renaming before the residents involved are consulted. Should the decision be made that the building should be renamed, residents will be invited to put forward name suggestions. The proposed names must follow the building naming conventions laid out in Section 10.9 'Naming of Buildings Conventions'.
- 10.10.4. Please note that the London Borough of Barnet has no legal obligation to reimburse owners/occupiers of buildings when the building name is being officially changed.

- 10.10.5. When compulsorily renaming a building, as much warning as is practicably possible will be given. A Decision Notice will be issued to owners/occupiers giving a specific date on which the new building name comes into effect. This will be at least 4 weeks from the date of the Decision Notice.

## 10.11. Removal of Building Name

- 10.11.1. To remove a building name from an Official Address, an application should be submitted to the Street Naming and Numbering department. Once a Decision Notice has been issued, the information regarding the removal of the building name will be notified to Royal Mail, the Emergency Services via the NLPG hub, Local Authority bodies via internal emails and to external organisations listed in Appendix E.
- 10.11.2. Compulsory removal of a building name may occur where it can be shown that the existing building name is causing consistent confusion or delays in locating the building for the Emergency Services. The Service Director will consider the removal of the name before residents involved are consulted. Should the decision be made that the name should be removed from the building, the residents may be invited to put forward name suggestions if a replacement name is required.
- 10.11.3. Please note that the London Borough of Barnet has no legal obligation to reimburse owners/occupiers of building when the building name is being officially removed.
- 10.11.4. When compulsorily removing a name from a building, as much warning as is practicably possible will be given. A Decision Notice will be issued to owners/occupiers giving a specific date on which the building name will no longer be applicable. This will be at least 4 weeks from the date of the Decision Notice.

## 11. Numbering of Buildings

- 11.1. The Local Authority retains absolute discretion in the allocation of street numbers. Only the Local Authority can allocate street numbers within a street.
- 11.2. The Street Naming and Numbering Officer will consider the location and means of access to each external entrance using the information on the application form and the plan(s) provided by the applicant.
- 11.3. The Local Authority has the power to assign numbers to houses and buildings 'as they think fit' and require the street number to be displayed (Section 6: London Building Acts (Amendment) Act, 1939 – Part II).
- 11.4. On receipt of an application to number a building(s), along with a site location plan and appropriate fee, the London Borough of Barnet will check the proposal against the numbering conventions listed in this policy. The Street Naming and Numbering Officer will allocate new street numbers to each plot and send them to Royal Mail for consultation and allocation of the Postcode. Once confirmed, a Decision Notice will be issued and for any applications with over 5 units, a plot to postal schedule will also be issued, that should be followed.
- 11.5. The Street Naming and Numbering Officer will use the following conventions when allocating a street number.

## 11.6. Numbering Conventions

- 11.6.1. Buildings in a street should be numbered with even numbers on one side and odd numbers on the other side. Convention requires number one always to be on the left-hand side of a street from the direction of the principal existing road.
- 11.6.2. However, cul-de-sacs are usually numbered sequentially in a clockwise direction, starting with number one on the left-hand side of the entrance to the cul-de-sac. Where it appears that there is a possibility for the cul-de-sac to be extended at some point in the future, it shall be numbered on both sides with odds and evens rather than sequential to allow for the numbering scheme to be extended at a future date.
- 11.6.3. Through roads are numbered odds and evens ascending from the principal existing street, which will be determined by the Street Naming and Numbering Officer.
- 11.6.4. All buildings within the borough should be allocated a street number.
- 11.6.5. A proper numbering sequence shall be maintained, starting with the number 1. In the interest of equality and diversity, no numbers will be omitted from a numbering sequence. Omission of numbers can cause confusion in a range of instances, including Emergency Services responses, mail delivery and third party identification of all flats or units in a building.
- 11.6.6. Buildings are numbered according to the street in which the main entrance can be found. The manipulation of numbering in order to secure a 'prestige' address or to avoid an address, which is thought to have undesired associations, will not be sanctioned.
- 11.6.7. Buildings on corner plots are numbered within the street towards which the main entrance faces. This is to enable buildings to be located quickly and easily. If pedestrian access is not possible from that street, the building may be numbered with the street giving access. Occupier's preference will not be a relevant consideration.
- 11.6.8. If a building has entrances in more than one street, each entrance should be numbered in the appropriate street. Exceptions may be made, depending on the circumstance, for a house divided into flats. This is common in corner buildings where there may be entrances from two separate roads.
- 11.6.9. The London Borough of Barnet will use numbers followed by letter suffixes only where there are no alternatives and to avoid the renumbering of other buildings in the existing streets/buildings.
- 11.6.10. Infill developments, buildings built between existing buildings or on the grounds of an existing building, will be given the same street number where possible and include a suffix to the street number if no consecutive number is available in the current numbering scheme or if more numbers are required than are available. For example, it will be the number of the building before the infill followed by a suffix of 'A', 'B', etc. e.g. 24A, 24B, etc. If a building is built before the first existing building (No. 1 or No. 2) in an existing street, the new dwelling(s) will be allocated 1A, 1B or 2A, 2B, etc. Creating an additional street name will sometimes be considered where a logical numbering sequence cannot be found.

- 11.6.11. New and existing buildings that are divided into separate flats or business premises, will be given one street number and a number suffix of '1', '2' etc. e.g. Flat 1, 25; Flat 2, 25 etc. Commercial premises will be allocated numbers and the prefix Unit, Office or Suite (for offices only).
- 11.6.12. Each self-contained sub-division with a separate external door (flats, offices, shops or any other) will be allocated its own distinguishing number. For example, where there is a commercial unit, a shop at ground floor level with its own entrance and two flats on the first and second floor above, with its own entrance to the flats, they will each have their own street number.
- 11.6.13. Merged buildings must adopt a previous addressable street number as their new street number. Therefore, the merging of two properties at '2 High Street' and '4 High Street' would result in a new record, which includes either the building number '2' or '4'. The Street Naming and Numbering Officer will decide this based on the location of the main entrance.
- 11.6.14. Two buildings in one street cannot have the same street number, unless accompanied by a suffix.
- 11.6.15. Where a building has been demolished the existing number sequence is, generally, retained and reused in any new development where possible. N.B. When a building is demolished, the address is historicised and before the new development commences, an application should be submitted to Street Naming and Numbering to re-register the address of the new building.
- 11.6.16. If additional plots are added to a proposed development at a later date, e.g. due to a revised layout and existing buildings are occupied the additional plots will be allocated existing numbering with suffixes of 'A', 'B' etc. e.g. 24A, 24B, etc. If no buildings are occupied, the existing plots will be renumbered to incorporate numbering for the additional plots. This rule would also apply for multiple addresses e.g. building with flats.
- 11.6.17. It is usual to leave spare numbers if open space or undeveloped areas exist along a length of street. The Local Authority shall reserve such numbers as it may consider desirable to allow for the possibility of later in-building or development.
- 11.6.18. Where a building has a number, it must be used and displayed. Where a building name has been given together with its official street number, the street number must always be included. The name alone cannot be regarded as alternative.
- 11.6.19. Depending on the size of the development, access and other factors, it may be appropriate to assign a new street name to a small development. Where a new street name is required, the proposed names must follow that naming conventions as laid out in Section 9.9 'New Street Naming Conventions'.
- 11.6.20. Private garages and similar buildings used for housing cars, and such like, will not be numbered.
- 11.6.21. Numbering of buildings will be numeric as opposed to textual. For example, 1 Smith Street as opposed to One Smith Street. The use of textual descriptions is likely to cause confusion in data entry and data retrieval on information systems.

- 11.6.22. Previous numbering anomalies are not to be repeated. There are current anomalies in the London Borough of Barnet, which have caused problems and the intention is that these will be corrected as opportunities arise by following the conventions laid out in this policy.
- 11.6.23. Once numbered, the Local Authority will not normally re-number buildings unless it can be shown that there is a consistent delivery problem or issues with Emergency Services. See Section 11.9 'Renumbering Existing Buildings' for full details.
- 11.6.24. A single occupancy property e.g. a commercial unit, may not have more than one street number in a street e.g. 110-115 High Road would not be acceptable. One number will be assigned e.g. 110 High Road, and if this is subdivided at a later date separate numbers will be used for each unit.

### 11.7. Sub-Division addresses

- 11.7.1. When flats are numbered internally or an existing building is converted into flats, the flats will be numbered not lettered, e.g. Flat 1, 24 and not Flat A, 24; nor 24A.
- 11.7.2. Internal building numbering begins with the first unit/sub-division on the left of the main entrance and continues in a clockwise direction. This process continues on subsequent levels from the first unit/sub-division to the left of the main access point for that level (stairwell). The London Fire Brigade also follow this convention, which allows for the Emergency Services to quickly and efficiently find properties.
- 11.7.3. Buildings that have more than one entrance in the same street, for example, where a building consists of several cores, should have the internal flats/units numbered in a clockwise direction within each part of the block served by a separate entrance: e.g. Flats 1-6 (Core 1), Flats 7-12 (Core 2), Flats 13-20 (Core 3) followed by the building name and street number. Should there be a break in the core entrances with commercial unit, the numbering sequence of the cores will be broken and street numbers will be allocated accordingly as decided by the Street Naming and Numbering Officer.
- 11.7.4. If a multiple occupation building, e.g. a block of flats, has entrances in more than one street and each entrance leads to separate occupiers, each entrance should be numbered in the appropriate street. This is because Royal Mail is opposed to a street number being used if the entrance point is in a different side street or the access is at the rear of the building.
- 11.7.5. With regards to flats in blocks, please advise the London Borough of Barnet at the outset whether each flat will have its own postal point. This will affect how Royal Mail lists the building.
- 11.7.6. Buildings that consist of flats but have only one shared communal delivery point are known by Royal Mail as 'Multi Occupancy' buildings and the Royal Mail would not show the individual flats on their Postcode Address File (PAF). The property address details would be held on the PAF using the main postal address and all the flats will be listed on the Royal Mail Multi Occupancy database, which is available for purchase by external companies.



- 11.7.7. The Local Authority's numbering sequence is final and the plot to postal schedule should be followed.
- 11.7.8. A newly named building may not have more than one number in one street.
- 11.7.9. For blocks of flats containing over 100 units, it should be noted that the postcodes will differ as Royal Mail can only hold 100 addresses per postal address, for example, Flats 1-100 will have one postcode and Flats 101-200 will have another.

## 11.8. Renumbering Existing Buildings

- 11.8.1. Renumbering of buildings is a very time-consuming process and may incur costs and/or disruption to individual occupiers and owners and wherever possible will be avoided. Hence it is usually only done as a last resort, i.e. if the existing numbers are causing consistent confusion and delay in locating the building for the Emergency Services.
- 11.8.2. Please note that the London Borough of Barnet has no legal obligation to reimburse owners/occupiers of buildings in which the renumbering is taking place.
- 11.8.3. Renumbering of buildings is only considered when infill developments are so great that street numbers to the new buildings cannot be allocated. The existing Street may then be subject to a renumbering scheme.
- 11.8.4. For a new development within an existing street the use of suffixes of 'A', 'B' etc., or renumbering where just a few properties are affected, is preferable to wholesale renumbering of a large street. However, this is not always possible and the renumbering of buildings will be at the discretion of the Service Director.
- 11.8.5. It should be appreciated that renumbering buildings can cause a great deal of inconvenience for residents. The London Borough of Barnet is therefore reluctant to make changes without a good reason. Before making any changes the London Borough of Barnet will consult with all residents affected by the proposals.
- 11.8.6. Where renumbering is involved, as much warning as is practicably possible will be given. A Decision Notice will be issued to owners/occupiers giving a specific date on which the new numbering comes into effect, this will be at least 4 weeks from the date of the Decision Notice.
- 11.8.7. Requests for renumbering can only be accepted from the owners of properties and not tenants. If the London Borough of Barnet is in any doubt that the applicant is not the owner, proof of ownership may be requested.

## 12. Confirmation of Address

- 12.1. Where there is any confusion or should a query arise regarding a particular address, the matter will be investigated by the Street Naming and Numbering department and could lead to a Confirmation of Address Decision being issued.
- 12.2. The Local Land and Property Gazetteer (LLPG) consists of 'Basic Land and Property Unit' (BLPU) that represents a real world object within the Local Authority

boundaries. Historically, new BLPU's have been created based on intelligence gathered from information held across Council departments, for example, from Street Naming and Numbering decisions, Council Tax records, Non-Domestic Rates records, Electoral Registration services and external information. The LLPG is actively maintained from a range of sources, including in response to various local and national data cleansing and matching initiatives, to best reflect land and properties that exist within the borough. However, sometimes addresses that have been in existence for a long while may be recorded differently across different databases, e.g. the Local Land and Property Gazetteer, Royal Mail, Council Tax records, Land Registry. In this instance, the solution is for the Street Naming and Numbering department to issue a Confirmation of Address Decision where the address information will be notified to Royal Mail, the Emergency Services via the NLPG hub, and Local Authority bodies via internal emails and external organisations as listed in Appendix E.

- 12.3. It should be noted that, where historical addresses fall outside the scope this policy and are long established, there is generally a preference to retain such an address, provided that it does not cause confusion.

### 13. Mail Delivery

- 13.1. The delivery of mail is not the Local Authority's responsibility. If you are experiencing problems receiving your mail you should first check to see if you are using the correct Official Address and allocated postcode. Confirmation of an official address can be requested by emailing [street.naming@barnet.gov.uk](mailto:street.naming@barnet.gov.uk). If your address is being quoted correctly and you are still having problems you should contact the delivery manager at your local Royal Mail sorting office.
- 13.2. If your mail is misdirected and the problem relates to two buildings having the same street numbering or building name, the Local Authority will investigate further and try to rectify the matter. Please email [street.naming@barnet.gov.uk](mailto:street.naming@barnet.gov.uk) with regard to this issue.
- 13.3. If post is being incorrectly put through your door you should contact the relevant Royal Mail sorting office for your area and ask to speak with the delivery manager.

### 14. Street Name Plates

- 14.1. The Local Authority is responsible for ensuring that street nameplates are provided and fitted in suitable positions for all public adopted streets. The statutory requirement is for a sign to be placed at the start and end of a street and it is vital in the event of an urgent situation that the Emergency Services can locate the street quickly.
- 14.2. The Local Authority is also responsible for the repair and maintenance of street nameplates for all public adopted streets when it becomes necessary due to accidental damage, vandalism or normal wear and tear.
- 14.3. In the case of a new development, however, the developer is required to provide and erect the initial street nameplate(s). These are purchased to the Local Authority's specification and the developer covers the costs. Where the street status remains private, the street nameplates shall be maintained by the developer or the residents (forum) until it is adopted.

- 14.4. Request for street nameplates on private roads should be made by phoning 020 8359 3555 or via email to [highwayscorrespondence@barnet.gov.uk](mailto:highwayscorrespondence@barnet.gov.uk)
- 14.5. No street nameplate should be erected until the Local Authority has confirmed the street name in writing.

## 15. Displaying Building Names and Numbers

- 15.1. Under Section 12 of the London Building Acts (Amendments (Act), 1939, street names and numbers are required to be displayed in an appropriate manner. This is to ensure that buildings are clearly identified for the convenience of the public and in order that the Emergency Services may attend and react efficiently when called to an incident.
- 15.2. The relevant street number, building name, or the combination of street number and building name should be clearly displayed and visible from the highway. This may mean street numbers being displayed on posts, gates or fences (and not necessarily the door of the building) to aid easy identification of the building, particularly in the event of an emergency.
- 15.3. The owner or occupier of a building shall affix and maintain an officially assigned street number allocated by the Local Authority to distinguish a particular building in a street.
- 15.4. Signs depicting names must be readable from the highway. In the case of flats, the developer/owner must affix numbers both within each dwelling and on the block at street level.
- 15.5. Applicants should pay particular attention to the display of addresses on retail premises and listed buildings and should be aware that the display may be subject to advertisement control.
- 15.6. Where the owner/occupier fails to display a street number and/or building name lawfully assigned, and there is a possibility of delay in locating the building or is causing inconvenience to other residents, the Local Authority shall serve a 30 days Notice to the owner/occupier of the building to display the correct number/name.
- 15.7. Where the Notice is not complied with, the Local Authority shall serve a Signage Direct Action Notice causing the name or number to be displayed on the building and recover the expenses from the owner or occupier of the building.

## 16. Limit of responsibility:

The Local Authority is not responsibly for the following:

- 16.1. The postcode. Only Royal Mail can allocate postcodes. Postcodes are only allocated to buildings that are either a residential dwelling or a bone fide business address. All buildings that are registered for business use need to be occupied during business hours and must have a mail delivery point that is secure and easily accessible for the delivery of mail. Royal Mail may amend postcodes when the number of properties in a new development exceeds the number of postcodes

available. Royal Mail may also reassign postcodes to properties in a development and surrounding area for consistency. In the event of change in postal address, Royal Mail will notify occupants of the change

- 16.2. Any complaints regarding correspondence and deliveries not being delivered to the correct address. These complaints should be directed to the relevant delivery company's customer service department.
- 16.3. Addresses being unavailable on databases used by third parties, such as retail outlets (including Internet based ones); Satellite Navigation Systems, Street Maps, etc.
- 16.4. Ordnance Survey maps or plans not featuring any buildings or streets.
- 16.5. Notifying anyone other than the services listed in Appendix E.
- 16.6. Billing Authority Reports (BAR). The Street Naming and Numbering department does **not** produce the Billing Authority Report. The Valuation Office Agency (VOA) is an executive agency that is sponsored by HM Revenues and Customs, which value properties and advise to support taxations and benefits. The VOA is **not** part of the Local Authority. Requests for BAR's should be issued by the Valuation Team within the London Borough of Barnet.
- 16.7. Council Tax records. It should be noted that addresses held on the Council Tax system are not necessarily the Official Address and only the Street Naming and Numbering department can advise on the Official Address.
- 16.8. The Street Naming and Numbering department is not responsible for the erection or replacement of road name plates, please contact Highways customer service on either 020 8359 3555 or email [highwayscorrespondence@barnet.gov.uk](mailto:highwayscorrespondence@barnet.gov.uk)

## 17. Enforcement of Street Naming and Numbering

- 17.1. In preparing this document, regards have been given to the adopted Development and Regulatory Service Enforcement Policy.
- 17.2. The London Borough of Barnet has the power to assign any name, where seen fit, to any street, whether that is a new street or a street with an existing name, or any row of houses or block of buildings under Section 6 of the London Building Acts (Amendment) Act 1939, Part II (see Appendix A). A one-month Notice of Intention will be given, allowing for objections to be made. Any objections received will be considered before the making of an Order to assign a new name.
- 17.3. Under Section 8 and 11 of the London Building Acts (Amendment) Act 1939, Part II, the London Borough of Barnet is under a duty to cause a lawfully assigned name of a street and/or building or a street number to be set up and kept set up. This includes the power to remove any name or number that differs from that lawfully assigned.
- 17.4. Where a building name has been lawfully given, the London Borough of Barnet shall give notice to the owner of the block of building requiring them to set up the name as given. If any notice by the Local Authority is not complied with, the London Borough of Barnet shall cause the name of the block of buildings to be set up or renewed.

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- 17.5. Whenever the marking of a name lawfully given or assigned to a block of buildings is destroyed, pulled down, defaced, obliterated or obscured, the owner of the building shall within the time specified within the Notice as served by the London Borough of Barnet renew the marking in accordance with the Notice. If any notice by the Local Authority is not complied with, the London Borough of Barnet shall cause the name of the block of buildings to be set up or renewed.
- 17.6. Under Section 10 of the London Building Acts (Amendment) Act 1939, Part II, it states that no person shall set up in or on any street, row of houses or block of buildings a name different to that name lawfully given or assigned. Failure to comply with this will result in appropriate enforcement action being taken by the London Borough of Barnet. Section 13 also states that no person shall mark on any building or on the premises of which the building forms part of, any number or name that is different from the number or name lawfully given.
- 17.7. The London Borough of Barnet has the powers to assign any building, for the purposes of distinguishing them, to be marked with such numbers or names or names as numbers as specified in either the Decision Notice or Order and that any existing numbers or names, which differ from those, specified shall be abolished, as per Section 11 of the London Building Acts (Amendment) Act 1939, Part II (see Appendix A).
- 17.8. The approach taken by the London Borough of Barnet is to encourage owners/occupiers to display the correct name/number in an appropriate manner. Failure to do so can result in the delayed response from the Emergency Services or postal delivery services being unable to identify the building. Appropriate enforcement action will be taken by the London Borough of Barnet where there is failure to comply with the request to rectify.
- 17.9. The London Building Acts (Amendment) Act 1939, allows Councils to affix lawfully assigned street numbers to buildings and recover costs incurred under Section 15. In addition, the provision of the Act results in offences being committed when owners or occupiers remove, cover or obliterate street numbers.
- 17.10. In addition to this Authority's power to recover expenses for works undertaken in default, it may also issue legal proceedings for the recovery of a fine in respect of any contravention of or failure to comply with the provisions of section 10 (Wrongful setting up of names of streets &c.) or section 13 (Offences as to numbering of name of buildings) of the London Building Acts (Amendment) Act 1939.
- 17.11. Retrospective numbering, undertaken when a developer has failed to apply for Street Naming and Numbering but requires address for an existing building, will be subject to charge.
- 17.12. In the event that a developer has contravened a Street Naming and Numbering Decision Notice or the Local Authority has identified a problem caused by an existing address, the Local Authority may undertake Compulsory Numbering. A process that mandates the use of a new address that will incur charges if a developer has ignored a Decision Notice. However, this may be free of charge, at the discretion of the Local Authority, only if undertaken to fix an existing problem or reduce confusion arising from an existing address.

## 18. Claims of Compensation

- 18.1. The Local Authority is not liable for any claims for compensation arising directly or indirectly from the naming of streets or renaming of streets, naming or renaming of buildings or numbering or renumbering of buildings.
- 18.2. The property developer must not give any postal addresses, including the postcode, to potential occupiers either directly or indirectly before the Official Address has been issued in a Decision Notice by the Local Authority's Street Naming and Numbering department. The Local Authority will not be liable for any costs of damages caused by failure to comply with this.

## 19. Decision and Discretion

- 19.1. The Local Authority's decision is final for the naming or renaming of streets, naming or renaming buildings or the numbering or renumbering of buildings and is at the discretion of the Service Director.

## 20. Scheme of Delegation

- 20.1. Under the London Borough of Barnet's Scheme of Delegation, the Commissioning Director of Growth and Development has passed to the Service Director has the power to approve the following:
- **Street naming** – providing a street name to a new street or an existing street with no name
  - **Building numbering** – providing numbers to plots, in-fills (properties built between existing houses or in the grounds of), buildings of conversions and commercial premises.
  - **Renaming existing Streets** – this is normally only considered when changes occur which give rise to problems for the Emergency Services.
  - **Renumbering existing buildings** – this is normally only considered when changes occur which give rise to problems for the Emergency Services and the inclusion of additional development.
  - **Allocating street numbers to buildings that only have a building name** – this function is carried out largely for public safety reasons in consultation with the emergency services.
  - Any other projects put forward at the discretion of the Street Naming and Numbering Officer.



## 21. Disclaimer

- 21.1. All addresses created by the Street Naming and Numbering department will be subject to the following disclaimer:

*The allocation of this official address (or addresses) does not serve as confirmation that any building or structure or the use of any such building or structure at the said address is authorised under Planning, Building Regulations or any other Legislation.*

## 22. Contact Details

- 22.1. For further information, comments, enquiries or complaints, please contact the Street Naming and Numbering team by using the following details:

**London Borough of Barnet – Street Naming and Numbering**  
2 Bristol Avenue  
Colindale, London  
NW9 4EW  
Tel: 020 8359 4500  
Email: [street.naming@barnet.gov.uk](mailto:street.naming@barnet.gov.uk)

- 22.2. Installation and display of Street Plates:

**London Borough of Barnet – Highways Department**  
2 Bristol Avenue  
Colindale, London  
NW9 4EW  
Tel: 020 8359 3555  
Email: [highwayscorrespondence@barnet.gov.uk](mailto:highwayscorrespondence@barnet.gov.uk)

## APPENDIX A – Legislation

### London Building Acts (Amendment) Act, 1939 – Part II

#### **Section 5: London Building Acts (Amendment) Act, 1939 – Part II Giving of names to streets &c.**

“Subject to the provisions of section 6 (Assigning of names to streets &c.) of this Act a name shall not be given to a street way place row of houses or block of buildings –

- (a) unless at least one month’s notice of the intended name has been given to the Council;
- (b) if the Council within one month of the giving of such notice have given notice to the person by whom such first-mentioned notice was given stating that they object to the intended name;

and it shall not be lawful to set up any name as the name of any street way place row of houses or block of buildings until the expiration of one month after receipt by the Council of the notice referred to in paragraph (a) of this section or to set up any name objected to as aforesaid.”

#### **Section 6: London Building Acts (Amendment) Act, 1939 – Part II Assigning of names to streets &c.**

“(1) The Council may by order assign any name which they think fit to any street way place row of houses or block of buildings whether or not in substitution for a name already given or assigned.

(2) Before making an order under this section the Council shall give notice of their intention of so doing to local authority and shall also at their option either cause notice of their intention to be posted in some conspicuous position in the street way or place or adjacent to the row of houses or block of building as the case may be or give notice to their intention by circular delivered at every building situate in the street way or place or forming part of the row of houses or block of buildings as the case may be.

(3) Every such notice shall state the manner in which and the time (being not less than one month after the date of the notice) within which objections to the intended order may be sent to the Council and the Council shall before making the order consider any objection so sent to them and may if they think fit having regard to any such objection amend any name which they have proposed to assign.”

#### **Section 8: London Building Acts (Amendment) Act, 1939 – Part II Setting up of names of street &c.**

“(1) Subject to the provisions of this section the local authority shall cause the name lawfully given or assigned to every street way place row of houses or block of buildings to be set up and kept set up in accordance with any regulations made in pursuance of section 9 (Regulations as to setting up of names of streets &c.) of this Act.

(2) Where a name has been given or an order has been made assigning a name to a block of building in pursuance of this Part of this Act the local authority shall give notice to the owner of the block of building requiring him to set up in accordance with regulations as aforesaid the name so given or ordered and in the case of an order assigning a name to the block of buildings in substitution for a name already given or assigned to remove within such

time as may be specified in the notice any name of the block of buildings which differs from that mentioned in order.

(3) Whenever the marking of a name lawfully given or assigned to a block of buildings is destroyed pulled down defaced obliterated or obscured the owner of the block of buildings shall within the time specified in a notice from the local authority requiring him so to do renew the marking in accordance with regulations as aforesaid.

(4) If any notice by a local authority in pursuance of this section is not complied with the local authority shall cause the name of the block of buildings to be set up or renewed in accordance with regulations as aforesaid and any name of the block of buildings which differs from that mentioned in the order to be removed.”

**Section 9: London Building Acts (Amendment) Act, 1939 – Part II  
Regulations as to setting up of names of streets &c.**

“The Council shall make regulations with respect to the setting up of the names of streets ways places rows of houses or blocks of buildings and matters in connection therewith and without prejudice to the generality of the foregoing provision such regulations may provide for the name to be placed on part of a building or structure and in such position thereon as may be prescribed by the regulations.”

**Section 10: London Building Acts (Amendment) Act, 1939 – Part II  
Wrongful setting up of names of streets &c.**

“No person shall –

- (a) set up in or on any street way place row of houses or block of building as the case may be any name thereof different from the name lawfully given or assigned thereto;
- (b) set up in or on any street way place row of houses or block of buildings the name thereof except in accordance with any regulations made in pursuance of section 9 (Regulations as to setting up of names of streets & c.) of this Act;
- (c) place or affix any notice advertisement within twelve inches of any marking of the name of a street way place row of houses or block of buildings lawfully set up;
- (d) otherwise than for the purpose of renewing the same destroy pull down deface obliterate or obscure or permit or suffer to be destroyed pulled down defaced obliterated or obscured any marking of the name of a street way place row of houses or block of buildings lawfully set up:

Provided that paragraph (d) of this section shall not apply where the marking is destroyed pulled down defaced obliterated or obscured in connection with the demolition alteration or erection of a building or structure or any part thereof if notice of intention so to do is given to the local authority not less than three days before the marking is destroyed pulled down defaced obliterated or obscured.”

**Section 11: London Building Acts (Amendment) Act, 1939 – Part II  
Numbering or naming of buildings.**

“(1) The Council may order that any buildings in a street way place row of houses or block of building shall for the purpose of distinguishing them be marked (whether already marked by a number or name or not) with such numbers or names or numbers and names as may be specified in the order and that any existing numbers or names which differ from those specified in the order shall be abolished.

(2) For the purpose of subsection (1) of this section a number followed by a letter or a fraction shall be deemed to be a number.

(3) Where a name has been given otherwise than in pursuance of subsection (1) of this section to a building and is in the opinion of the Council unsuitable or likely to cause delay or inconvenience in executing any public service they may without prejudice to the exercise from time to time of the powers of the Council under the said subsection (1) by order assign a name to the building in substitution for such first-mentioned name.

(4) (a) Before making an order under this section as respects the substitution of a name of a building for an existing name thereof the Council shall give notice of their intention of so doing to the owner of the building.

(b) Every such notice shall state the manner in which and the time (being not less than one month after the date of the notice) within which objections to the intended order may be sent to the Council and the Council shall before making the order consider any objection so sent to them and may if they think fit having regard to any such objection amend any name which they have proposed to assign.

(5) Whenever the Council have made an order under this section they shall transmit a copy thereof to the local authority and it shall be the duty of the local authority to perform all necessary acts and to take all requisite proceedings for carrying the order into effect.

(6) The local authority shall give notice to the owner or occupier of every building to which an order made by the Council under this section relates requiring him to mark the building or some part of the premises of which the building forms part with the number or name or number and name which the Council have ordered in accordance with any regulations made in pursuance of section 12 (Regulations as to marking of numbers and names of buildings) of this Act and to remove within such time as may be specified in the notice any number or name marked on the building or on the premises of which the building forms part which differs from that specified in the order.

(7) Whenever the marking of a number or name or number and name of a building assigned by an order of the Council is destroyed pulled down defaced obliterated or obscured the owner or occupier of the building shall within the time specified in a notice from the local authority requiring him so to do renew the marking in accordance with regulations as aforesaid.

(8) If any notice by a local authority in pursuance of this section is not complied with the local authority shall cause the number or name or number and name of the building to be marked in accordance with regulations as aforesaid and any number or name which differs from that specified in the order to be removed.

(9) So much of this section as relates to names shall not apply-

(a) to a theatre cinematograph theatre or music hall; or

(b) to premises which are at the date of the passing of this Act licensed for the sale of intoxicating liquor for consumption on the premises or any premises erected in substitution therefor so long as the premises are so licensed."

## **Section 12: London Building Acts (Amendment) Act, 1939 – Part II Regulations as to marking of numbers and names of buildings.**

"The Council shall make regulations with respect to the marking of the numbers or names or numbers and names of buildings in a street way place row of houses or block of buildings and without prejudice to the generality of the foregoing provision such regulations may provide for the number or name or number and name of any building to be marked in some

appropriate position either on the building or on some part of the premises of which the building forms part as may be prescribed by the regulation.”

**Section 13: London Building Acts (Amendment) Act, 1939 – Part II  
Offences as to numbering or naming of buildings.**

“No person shall –

- (a) mark on any building or on the premises of which the building forms part of any number or name thereof –
  - (i) different from a number or name lawfully given thereto or ordered in respect thereof; or
  - (ii) except in accordance with any regulations made in pursuance of section 12 (Regulations as to marking of numbers and names of buildings) of this Act;
- (b) otherwise than for the purpose of renewing the same destroy pull down deface obliterate or obscure or permit or suffer to be destroyed pulled down defaced obliterated or obscured the marking of any number or name as the case may be lawfully given to or ordered in respect of any building:

Providing that –

- (a) where any premises are used for the purposes of any commercial undertaking (including any theatre cinematograph theatre or music hall or any premises which are at the date of passing of this Act licensed for the sale of intoxicating liquor for consumption on the premises or any premises erected in substitution therefor so long as the premises are so licensed) proceedings for an offence under subparagraph (ii) of paragraph (a) of this section shall not be taken by reason only of the fact that the name lawfully given to the building in addition to being marked thereon or affixed thereto in accordance with any regulations made in pursuance of section 12 (Regulations as to marking of numbers and names of buildings) of this Act is also marked otherwise in accordance with such regulations if such additional marking does not obscure or obliterate the name as marked affixed to the building in accordance with such regulations;
- (b) paragraph (b) of this section shall not apply where the marking of the number or name or number and name as the case may be of a building is destroyed pulled down defaced obliterated or obscured in connection with the demolition alteration or erection of a building or any part thereof if notice of the intention so to do is given to the local authority not less than three days immediately before the marking of the number or name or number and name as the case may be is destroyed pulled down defaced obliterated or obscured.”

**Section 14: London Building Acts (Amendment) Act, 1939 – Part II  
Record of names of streets &c. and numbering or names of buildings.**

“(1) The Council shall keep a record of -

- (a) the names lawfully given or assigned to streets ways places rows of houses or blocks of buildings; and
- (b) the numbers or names or numbers and names with which they order buildings to be marked;

and such record shall be kept in such form as to show –

- (i) as respects alterations in the names of streets made by order or resolution since the first day of January eighteen hundred and fifty-six the date of the order or resolution by which such alteration was made and as respects names assigned to streets ways places rows of houses or blocks of buildings after the commencement of this Act the date of the order

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- (ii) assigning the name and the immediately previous name or names (if any) borne by the street way place row of houses or block of buildings ; and the date of the order assigning numbers or names or numbers and names to buildings or assigning a name to a building in substitution for another name and the immediately previous numbers and names (if any) of the buildings.

(2) It shall upon payment of such a reasonable fee as the Council may from time to time to determine lawful –

- (a) for any person at any reasonable hour to inspect such record and to take a copy of any portion thereof; and
- (b) for the Council to furnish a copy or information as to the contents of any portion of such record to any applicant.”

### **Section 15: London Building Acts (Amendment) Act, 1939 – Part II Proceedings by local authority.**

“(1) Proceedings for the recovery of a fine in respect of any contravention of or failure to comply with the provisions of section 10 (Wrongful setting up of names of streets &c.) or section 13 (Offences as to numbering or naming of buildings) of this Act may be taken by the local authority.

(2) Where a local authority are required or empowered by this Part of this Act in default of any other person to cause the name of a block of buildings or a number or a name or a number and name of a building to be set up marked renewed or removed they may recover the expenses of doing so from the owner or owners of the block of buildings or part thereof the owner or occupier of the building as the case may be.

(3) All power rights and remedies given to a local authority by Part of this Act shall be deemed in addition to and not in derogation of any other powers rights or remedies conferred on them by any other Act.”



## APPENDIX B – Applying for Street Naming and Numbering – Guidance for Applicants

An online application can be made to the London Borough of Barnet Street Naming and Numbering department by visiting our website [www.barnet.gov.uk](http://www.barnet.gov.uk). Alternatively, a PDF version can be downloaded and completed and either returned by email to [street.naming@barnet.gov.uk](mailto:street.naming@barnet.gov.uk) or by post.

The following are the types of application that can be submitted:

- Naming of a new street(s)
- Naming of a new or existing building(s)
- Numbering of new or existing building(s)
- Naming and numbering of a new or existing building(s)
- Naming of new street(s) and building(s) and numbering of building(s)
- Renaming of existing street(s)
- Renaming of existing building(s)
- Renumbering of existing building(s)

When making an application for any of the above, the following must be completed as part of the application:

- Property developer or owners contact name, address and contact details
- Location and type of development
- If a large development, the suggested marketing name
- Planning permission and Building Control reference numbers
- Where applicable:
  - At least three street names suggestions, listed in order of preference, for each proposed new street and/or;
  - At least three building name suggestions, listed in order of preference, for each proposed new or existing building name
- Current status of the building to be provided, i.e. under construction, in use, unoccupied, planning application stage, etc.
- Estimated date of occupation / completion
- Dwelling classification, e.g. detached, semi-detached, terraced, self-contained flat, etc.
- Commercial or industrial classification, e.g. retail unit, office, warehouse, etc.
- Confirmation of postal delivery points for flats or units
- For commercial or industrial buildings, organisational name if known

The following information should accompany the application form and must be provided in either electronic format or hard copy:

- Site location plan – showing site location in relation to any existing streets
- Site layout plan(s) – showing unique plot numbers and placement of front door or primary access of each plot
- The appropriate fee
- Where new streets are to be addressed, georeference CAD drawings showing full extent (layout) of new streets with clearly marked end points
- Accommodation schedule for large developments
- Where applicable, internal layout plans for developments which are subdivided at floor level – showing unique plot numbers and placement of front door or primary access of each plot

On receipt of the above, the application will be processed and vetted to ensure all information needed has been provided.

Once valid, an acknowledgment letter will be sent with an estimated length of time required for the Street Naming and Numbering process and the contact details of your case officer. The allocated Street Naming and Numbering Officer of the application will then:

- Check that the appropriate planning permissions are in place and whether a Building Regulations application has been received
- Check to ensure that the proposal is in accordance with the conventions as listed in this policy, if not, they will contact the applicant directly and advise
- Check existing current records held by the Local Authority for the site and allocate addresses to plot numbers to created numbering schedule
- A draft of the numbering schedule will then be sent for approval. N.B. With regards to approval, this is only in terms of ensuring that all plots have been identified by the Street Naming and Numbering Officer.

Where a street name(s) is being sought, giving that suggestions conform to the policy, the names will be sent for consultation with the London Fire Brigade. Should the suggestions not meet any objection(s), a public Notice of Intention will be posted at the site of the new street, allowing 28 days for any objections to be received. If objections are met, the applicant will be informed.

Where a building name(s) is being sought, giving that suggestions conform to the policy, the names will be sent for consultation with the London Fire Brigade. If objections are met, the applicant will be informed.

Newly allocated addresses will be sent to Royal Mail for consultation for allocation of the Postcode. On receipt of the postcode(s), the London Borough of Barnet Street Naming and Numbering department will issue a Decision Notice confirming the new Official Address(es).

**APPENDIX C – Conventions and Best Practice Addressing Classifications**

The following tables are naming and numbering conventions for specialised buildings, specifying suffixes that should be allocated to facilitate easy identification of buildings and its relevant use, which will be followed by the Street Naming and Numbering Officer when allocating Official Addresses.

Addressable Object Category	Addressable Object Description	Explanatory Notes	Examples
<b>Commercial Attractions</b>	<b>Agricultural</b>	All agricultural buildings shall be officially addressed; this includes Farms, Fisheries and Horticulture buildings.	<i>Mays Lane Farm, Mays Lane, Barnet</i>
		New and existing agricultural buildings that are to be named/renamed and can use the name of existing streets or geographical areas within the Borough provided the building lies within the named street/area and no other building is already using the same or similar name.	
		Ancillary buildings within the agricultural boundaries shall also be captured as a secondary addressable object name.	
		An appropriate suffix shall be allocated, e.g. Farm, Fishery.	
		Where appropriate, agricultural buildings will be allocated a street number, however, this is not mandatory.	
		It should be noted, that all names for agricultural buildings are subject to the same building naming conventions as those set out in this policy in Section 10.9 - Naming of Building Conventions.	
	<b>Ancillary Buildings</b>	All Ancillary buildings shall be officially addressed, even if they are only going to be in place for a temporary period of time. This includes security huts, site offices and control buildings.	<i>Site Office, 1 Smith Street, Barnet</i>
		Where applicable, the appropriate prefix shall be given to explain what the ancillary building is being used for, e.g. Site Office.	
For large sites, such as Hospitals, Colleges, construction sites, etc., ancillary buildings shall be officially addressed using the naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering Conventions.			

Addressable Object Category	Addressable Object Description	Explanatory Notes	Examples
<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Commercial Attractions</b></p>	<p style="text-align: center;"><b>Community Services</b></p>	<p>All Community Service buildings shall be officially addressed, this includes; Courts of Law, Public Halls/Other Community Facilities, Church Halls/Religious Meeting Places/Halls, Community Service Centres/Offices, Recycling Sites/Public Household Waste Recycling Centres, Cemeteries/Crematoriums/Graveyards.</p>	
		<p>All new and existing community service buildings that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided the building lies within the named street/area and no other building is already using the same or similar name.</p>	
		<p>If a street number does not exist, it must be allocated a street number within the street where the main entrance lies.</p>	
		<p>It should be noted, that all names for community service buildings are subject to the naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering Conventions.</p>	
		<p>An appropriate suffix shall be allocated where necessary to help the emergency services easily identify the building(s). See following for examples:</p> <p><b><u>Law Court:</u></b> Courts of Law shall be officially named with an appropriate suffix, e.g. Magistrates Court, High Court or Crown Court, etc.</p> <p><b><u>Public Hall/Other Community Facility:</u></b> Public halls and other community facilities may include; Scouts, Boys Brigade, Guides, Youth Clubs, Day Care Centres, Community Centres, Adult Day Centres, Children's Resource Centre, Voluntary Centre, etc., and shall be allocated an appropriate suffix.</p> <p><b><u>Church Hall/Religious Meeting Place/Hall:</u></b> Buildings associated with a Place of Worship can be named/renamed using the Place of Worships name, provided that there is not another building already using the same or similar name within close proximity. An appropriate suffix shall be allocated, e.g. Hall, Meeting Hall, etc.</p> <p><b><u>Community Service Centre/Office:</u></b></p>	

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	<p><b>Community Services (Con.)</b></p> <p>An appropriate suffix shall be allocated, e.g. Community Centre, Centre, and Office.</p> <p><b><u>Recycling Site/Public Household Waste Recycling Centres:</u></b> An appropriate prefix/suffix should be allocated to the site, clearly identifying what it is used for.</p> <p><b><u>Cemetery/Crematorium/Graveyard:</u></b> An appropriate suffix shall be allocated, e.g. Cemetery, Crematorium, Chapel of Rest, Burial Ground, etc. Ancillary buildings within the grounds shall also be captured as a secondary addressable object name.</p>	<p><i>Street, London</i></p> <p><i>Civic and Amenity Recycling Centre, 1 Smith Street, London</i></p> <p><i>Barnet Cemetery and Crematorium, 1 Smith Street, London</i></p>
	<p><b>Car Parks</b></p> <p>All new and existing car parks that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided the car park lies within the named street/area and no other car park is using the same or similar name.</p> <p>Car parks will not be allocated a street number and will not be postally addressable.</p> <p>An appropriate suffix shall be allocated, e.g. Car Park.</p>	<p><i>Smith Street Car Park, Smith Street, London</i></p>
<p><b>Emergency Services</b></p>	<p><b>Police / Fire / Ambulance Stations</b></p> <p>All Emergency Services building shall be officially addressed, this includes Police, Fire and Ambulance stations.</p> <p>All Police/Fire/Ambulance Stations that are to be named/renamed can use the name of existing streets or geographical areas within the borough provided the Emergency Service Station lies within the named street/area and no other Emergency Service Station is already using the same or similar name.</p> <p>An appropriate suffix shall be allocated, e.g. Police Station, Fire Station or Ambulance Station.</p> <p>If a street number does not exist, one shall be allocated within the street where the main entrance lies.</p> <p>Ancillary buildings within the emergency services station boundaries should also be captured as a secondary addressable object names. For example, Police headquarters could contain several buildings on one site. All buildings shall be officially addressed using the naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering Conventions.</p>	<p><i>Colindale Police Station, 1 Colindale Road, London</i></p> <p><i>Barnet Fire Station, 1 Smith Street, London</i></p> <p><i>Edgware Ambulance Station, 1 High Street, London</i></p>

Addressable Object Category	Addressable Object Description	Explanatory Notes	Examples
Retail	Shopping Centres, Retail Parks and Industrial Estates	<p>All Shopping Centres, Retails Parks and Industrial Estates shall be officially addressed. In order to minimise confusion, the address of each commercial building will be a sustainable address that can be reused regardless of the business or organisation that occupies the building. Appropriate unit numbers will be allocated, which will remain constant, even in the event that the business that occupies the premises should change.</p>	
		<p>All Shopping Centres, Retail Parks and Industrial Estates that are to be named/renamed can use the name of existing streets or geographical areas within the borough provided the building(s) lies within the named street/area and no other building is already using the same or similar name.</p>	<p><i>Unit 1, Brunswick Retail Park, 1 High Street, London</i> <i>Unit 2, Brunswick Retail Park, 1 High Street, London</i></p>
		<p>If the shopping centre, arcade, mall, retail park, shopping precinct or industrial park comprises of more than one officially named street, buildings shall each be numbered to the street from which they are accessed.</p>	<p><i>Unit 1, Brunswick Retail Park, 1 Commercial Street, London</i> <i>Unit 2, Brunswick Retail Park, 1 Commercial Street, London</i></p>
		<p>It should be noted that names for Shopping Centres, Retail Parks and Industrial Estates etc., are subject to the same building naming conventions as those as set out in this policy in Section 10.9 - Naming of Building Conventions. See following examples:</p> <p><b><u>Shopping Centres, Arcades or Malls:</u></b> A name shall be agreed based on the building naming conventions defined in this policy and each shop/unit within will be required to have its own unique number. The building shall be officially addressed from the street where it is deemed to have its main or primary access.</p> <p><b><u>Retail Parks &amp; Open Air Shopping Precincts:</u></b> A name shall be agreed for the park or precincts based on the naming conventions defined within this policy. Each individual unit will be required to have a unique number.</p> <p><b><u>Industrial Estates:</u></b> Where appropriate a name will be given to an industrial park. Each individual unit or yard shall be required to have a unique number.</p>	
	Petrol Stations, Service	<p>Unless officially named, these types of buildings shall be described as Petrol Filling Stations.</p> <p>If a street number does not exist, one will be allocated within the street</p>	<p><i>Smith Street Petrol Filling Station, Smith Street, London</i></p>



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	<b>Stations, Filling Stations, Gas Stations</b>	<p>where the main entrance lies.</p> <p>It should be noted that names for Petrol Filling Stations are subject to the same building naming conventions as set out in this policy in Section 10.9 - Naming of Building Conventions.</p>	
	<b>Markets (Indoor / Outdoor)</b>	<p>All new and existing markets that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided the market lies within the named street/area and no other market is using the same or similar name.</p> <p>Markets shall not be allocated a street number and will not be postally addressable.</p> <p>An appropriate suffix shall be allocated, e.g. Market</p>	<p><i>Totteridge Market, Smith Street, London</i></p> <p><i>Smith Street Market, Smith Street, London</i></p>
	<b>Public Houses / Bars/ Nightclubs</b>	<p>If a street number does not exist, one will be allocated within the street where the main entrance lies.</p> <p>If the public house/bar/nightclub name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.</p> <p>If the premise contains living accommodation, then they shall officially addressed.</p>	
<b>Education</b>	<b>Children's Nursery</b>	<p>All new and existing Children's Nurseries shall be officially addressed. The name can use the name of existing street or geographical area within the Borough, provided the establishment lies within the named street/area and no other building is already using the same or similar name.</p>	<p><i>Smith Street Nursery, Smith Street, London</i></p> <p><i>East Barnet Pre-School, High Street, Barnet</i></p>
		<p>New and existing Children's Nurseries cannot duplicate or be similar to any other Children's Nursery names already existing within the Borough, as this can lead to confusion, particularly in an emergency.</p>	
		<p>An appropriate suffix shall be allocated, e.g. Child Day Care Centre, Pre School, Nursery, etc.</p>	
		<p>If a street number does not exist, one will be allocated within the street where the main entrance lies.</p>	
		<p>It should be noted that names for Children's Nurseries are subject to the same naming and numbering conventions as those as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering of Buildings.</p>	
<b>Addressable Object Category</b>	<b>Addressable Object Description</b>	<b>Explanatory Notes</b>	<b>Examples</b>
<b>E</b>	<b>School or</b>	All new and existing Schools or Academies that are to be named/renamed	

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<b>n</b>	<b>Academies</b>	can use the name of existing streets or geographical area within the Borough, provided the school or academy lies within the named street/area and no other school or academy is already using the same or similar name.	<i>Mill Hill Academy, Smith Street, London</i>
		When assigning a new School or Academy name, where possible, to help reinforce local/historical character, the London Borough of Barnet encourages name suggestions that reflect the area's history.	<i>Finchley Infant School, Smith Street, London</i> <i>Finchley Junior School, Smith Street, London</i>
		School/Academy names cannot duplicate or be similar to any other School/Academy names already existing within the Borough (exceptions apply to Infant/Junior or Lower/Upper Schools/Academies at split sites) as this can lead to confusion, particularly in an emergency.	
		An appropriate suffix shall be allocated, e.g. School or Academy, Primary School, Secondary School, Grammar School, Comprehensive School, High School, etc.	<i>Smith Building, Hendon School, High Street, London</i>
		Ancillary buildings within the school premises shall also be captured as a secondary addressable object name.	
		Any associated residential accommodation, e.g. a caretaker's house shall be official addressed as part of the School Site.	<i>Caretakers House, Hendon School, High Street, London</i>
		Schools/Academies shall not be allocated a street number.	
		It should be noted that names for Schools and Academies are subject to the same naming conventions as those set out in this policy in Section 10.9 - Naming of Building Conventions.	
	<b>College</b>	All new and existing College campuses shall be officially named and can use the name of an existing street or geographical area within the Borough provided the College lies within the named street/area and no other College is already using the same or similar name.	<i>Hendon Sixth Form College, High Street, London</i>
		When assigning a new College name, where possible, to help reinforce local/historical character, the London Borough of Barnet encourages name suggestions that reflect the area's history.	
		College campus names cannot duplicate or be similar to any other College names already existing within the Borough (exceptions apply to Sixth Form Colleges linked to secondary schools) as this can lead to confusion.	
		College campuses will not be allocated a street number.	
		An appropriate suffix shall be allocated, e.g. College or Sixth Form College.	<i>Smith Building, Hendon Sixth Form College, High Street, London</i>
		Ancillary buildings within the college campus shall also be captured as a secondary addressable object name.	
Any associated residential accommodation, e.g. a caretaker's house shall be official addressed as part of the college site.		<i>Caretakers House, Hendon Sixth Form College, High Street, London</i>	
<b>College (Con.)</b>	It should be noted that names for Colleges are subject to the same naming		

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		conventions as those set out in this policy in Section 10.9 - Naming of Building Conventions.	
	<b>Universities</b>	All new and existing University campuses that are to be named/renamed can use the name of existing streets or geographical areas within the borough provided the university lies within the named street/area and no other university is already using the same or similar name.	<i>Barnet University, Commercial Street, London</i>
		When assigning a new University name, where possible, to help reinforce local/historical character, the London Borough of Barnet encourages name suggestions that reflect the area's history.	
		Universities will not be allocated a street number.	
		Ancillary buildings within the university campus shall also be captured as a secondary addressable object name, e.g. faculty buildings.	<i>Library, Barnet University, Commercial Street, London</i>
		Any associated residential accommodation, e.g. halls of residence shall be official addressed as part of the college site.	
		Individual student rooms may further be officially addressed with each being allocated its own unique number.	<i>Rooms 1-50, Halls of Residence, Barnet University, Commercial Street, London</i>
		If a University comprises of more than one officially named street, the buildings will be addressed to the street from which they are accessed.	
		It should be noted that names for Universities are subject to the same naming conventions as those set out in this policy in Section 10.9 - Naming of Building Conventions.	
<b>Medical (Public &amp; Private Sector)</b>	<b>Hospitals</b>	All new and existing Hospitals shall be officially named can use the name of existing streets or geographical areas within the borough provided the hospital lies within the named street/area and not other hospital is already using the same or similar name.	<i>Finchley Hospital, High Street, London</i>
		When assigning a new Hospital name, where possible, to help reinforce local/historical character, the London Borough of Barnet encourages name suggests that reflect the area's history.	<i>Maternity Building, Finchley Hospital, High Street, London</i>
		The appropriate suffix shall be allocated, e.g. Hospital or Medical Centre.	
		Ancillary/sub buildings within the hospital site shall also be captured as a secondary addressable object name.	

Addressable Object Category	Addressable Object Description	Explanatory Notes	Examples
	<b>Hospitals</b>	If a hospital comprises of more than one officially named street, the buildings	

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<b>(Public &amp; Private Sector)</b>	<b>(Con.)</b>	within the site will be named to the street from which they are accessed.	
		Hospitals shall not be allocated a street number.	
		It should be noted that names for Hospitals are subject to the same naming and numbering conventions as those set out in this policy in Section 10.9 - Naming of Building Conventions.	
	<b>Dentist</b>	All Dental Surgeries shall be officially addressed using the appropriate prefix, e.g. Dental Surgery, Dentist.	
		If the dentist/dental surgery company or organisation name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.	
		All dentists are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering of Buildings.	
	<b>General Practice Surgery / Clinic/ Professional Medical Services</b>	All General Practice Surgeries/Clinics/Professional Medical Services shall be officially addressed, this includes; Health Centres, Day Care Services, Drugs Clinic, Family Services, NHS Walk in Clinics, etc., and can use the name of existing streets or geographical areas within the borough provided the hospital lies within the named street/area and not other hospital is already using the same or similar name.	<i>Smith Road Doctors, 1 Smith Road, London</i>
		All general practice surgeries/clinics/professional medical services are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering of Buildings.	
		Where possible, an appropriate Suffix should be used, e.g. Doctors Surgery, Medical Centre, Chiropractor, Therapist, etc., to help identify for Emergency Services the use of the premises.	
		If the general practice surgery/clinic company or organisation name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.	
<b>Hospices</b>	All Hospices shall be officially addressed and can use the name of existing streets or geographical areas within the borough provided the it lies within the named street/area and the name is not is already being used.	<i>Edgware Hospice, High Street, London</i>	
	If the Hospice company or organisation name is known, then it should be provided so records can reflects the name of the premises, however, it will not be part of the Official Address.		
<b>Hospices (Con.)</b>	The appropriate suffix shall be allocated, e.g. Hospice.		
	All Hospices should be officially addressed and are subject to the same		

		naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering of Buildings.	
<b>Commercial Lodging</b>	<b>Hotels / B&amp;Bs</b>	All Hotels and B&Bs shall be officially addressed. However, individual rooms will not be captured as part of the Official Address unless there are sub-properties whose occupants are subject to receiving mail.	
		If the Hotel/B&B company name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.	
		It should be noted that official addresses for hotels/B&Bs are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering of Buildings.	
<b>Residential</b>	<b>HMO / Bedsit / Nursing Homes</b>	Accommodation sites that are occupied by more than one household will be allocated a building number as set out in this policy in Section 11.4 – Numbering of Buildings.	<i>Room 1-5, 1 Smith Street, London</i>
		For buildings where there are sub-properties whose occupants receive service delivery, they will be internally numbered using an appropriate prefix, e.g. Room.	
	<b>Residential Institution</b>	All Care / Nursing Homes, Communal Residence (Retirement homes) and Residential Education (Boarding School Accommodation) shall be officially addressed.	
		If the residential institution company name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address. An appropriate suffix shall be allocated, e.g. Nursing Home, Retirement Home.	
		It should be noted that official addresses for residential institutions are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering of Buildings.	

Addressable Object Category	Addressable Object Description	Explanatory Notes	Examples
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<b>Industrial</b>	<b>Applicable to manufacturing, engineering, maintenance, storage / wholesale distribution and extraction sites</b>	All industrial buildings/sites shall be official addressed; this includes Factories/Manufacturing Sites/Warehouses/Workshops/Storage Depots/Recycling Plants.	<i>Whetstone Recycling Plant, Commercial Road, London</i>
		New and existing industrial buildings/sites are to be named/renamed and can use the name of existing streets or geographical areas within the borough provided the industrial site lies within the named street/area and not other industrial site is already using the same or similar name.	<i>High Street Warehouse, 1 High Street, London</i>
		If the industrial company or organisation name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.	
		The appropriate suffix should be used, e.g. Recycling Plant, Warehouse, Workshop, Storage Depot, etc.	
		Where appropriate, a street number will be allocated within the street where the main entrance lies.	
		Ancillary buildings within the grounds shall also be captured as a secondary addressable object name.	
		All industrial buildings/sites official addresses are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering of Buildings.	
<b>Leisure</b>	<b>Libraries</b>	All Libraries shall be officially addressed and the appropriate suffix shall be allocated, e.g. Library.	<i>Finchley Library, High Street, London</i>
		All new and existing Libraries that are to be named/renamed, can use the name of existing streets or geographical areas within the Borough, provided the building lies within the named street/area and no other building is already using the same or similar name.	
		All Libraries are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering of Buildings.	
<b>Leisure</b>	<b>Museums / Galleries</b>	All Museums and Galleries shall be officially addressed and are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering of Buildings.	<i>High Barnet Gallery, 1 Commercial Street, London</i>
		If the company or organisation name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.	
<b>Leisure</b>	<b>Leisure /</b>	All leisure centres shall be officially addressed, this includes; Indoor / Outdoor Centres, Sporting Activity Centres, Cricket Grounds, Golf Courses,	<i>Barnet Golf Course, High Street,</i>



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	<b>Sports Centres</b>	Swimming Pools, Football Grounds, Horse Riding Stables, Playing Fields, Rugby Pitch, Recreation Grounds, etc.	<i>Barnet</i>  <i>Smith Street Play Fields, Smith Street, London</i>
		An appropriate suffix shall be allocated, e.g. Centre, Playing Fields, etc., to help identify for Emergency Service use of site.	
All new and existing leisure and sport centres are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided the building/site lies within the named street/area and no other building/site is already using the same or similar names.			
Where appropriate, a street number will be allocated within the street where the main entrance lies.			
It should be noted, that all official addresses for leisure and sports centres are subject to the naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering Conventions.			
If the company or organisation name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.			
	<b>Cinema / Theatre / Concert Hall</b>	All Cinemas, Theatres and Concert Halls shall be officially addressed and are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 - Naming of Building Conventions and Section 11.6 - Numbering of Buildings.	<i>Hendon Concert Hall, 1 Commercial Street, London</i>
		All new and existing cinemas, theatres and concert halls that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided the building/site lies within the named street/area and no other building/site is already using the same or similar names.	
		Where applicable, an appropriate suffix shall be allocated, e.g. Theatre.	
		If the company or organisation name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.	
<b>Addressable Object Category</b>	<b>Addressable Object Description</b>	<b>Explanatory Notes</b>	<b>Examples</b>
	<b>Licensed Private Members' Club</b>	All Licensed Private Members' Club shall be officially addressed, this includes; Fitness Clubs, Country Clubs, Social Clubs, Political Party Headquarters, etc.	<i>Hadley Wood Country Club, Smith Street, Barnet</i>
		All new and existing licensed private members' clubs that are to be	

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		<p>named/renamed can use the name of existing streets or geographical areas within the Borough provided the building/site lies within the named street/area and no other building/site is already using the same or similar names.</p> <p>Where applicable, an appropriate suffix shall be allocated, e.g. Country Club.</p> <p>Where appropriate, a street number will be allocated within the street where the main entrance lies.</p> <p>All official addresses for licensed private members' clubs are subject to the naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering Conventions.</p> <p>If the company or organisation name is known, then it should be provided so records can reflect the name of the premises, however, it will not be part of the Official Address.</p>	
<b>Land</b>	<b>Allotments</b>	All new and existing allotments that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided the allotment lies within the named street/area and no other allotment is using the same or similar name.	<i>Smith Street Allotments, Smith Street, London</i>
		Allotments shall not be allocated a street number and they shall not be postally addressable.	
		An appropriate suffix shall be allocated, e.g. Allotment.	
	<b>Amenity (Open Spaces) and Parks</b>	All new and existing amenities that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided the allotment lies within the named street/area and no other allotment is using the same or similar name.	<i>New Barnet Park, Smith Street, London</i>
		Amenities shall not be allocated a street number and they shall not be postally addressable.	
		An appropriate suffix shall be allocated, e.g. Park.	
<b>Business</b>	<b>Offices / Office Block</b>	All offices and office blocks shall be officially addressed using the naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering Conventions.	
		An appropriate suffix shall be allocated, e.g. Building, Tower, etc.	
		If a street number does not exist, it shall be allocated within the street where the main entrance lies.	

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		For buildings where there are sub-properties who occupants receive service delivery, they will be internally numbered using an appropriate prefix, e.g. Office or Unit.	
	<b>Business Park</b>	All business parks shall be official addressed. In order to minimise confusion, the address of each commercial building will be a sustainable address that can be reused regardless of the business or organisation that occupies the building. Appropriate unit numbers will be allocated, which will remain constant, even in the event that the business that occupies the premises should change.	
		All new or existing business parks are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided that the site lies within the names street/area and no other site is using the same or similar name.	
		An appropriate suffix shall be allocated, e.g. Business Park.	
		If the business park comprises of more than on officially named street, buildings shall be named and numbered to the street from which they are accessed.	
		Business parks are subject to the same naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering of Buildings.	
<b>Animal Centres</b>	<b>Cattery / Kennels</b>	All Catteries and Kennels shall be officially addressed using the using the naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering Conventions.	
	<b>Animal Centres</b>	All Animal Centres shall be officially addressed using the naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering Conventions.	
	<b>Vet / Animal Medical Treatment</b>	All Vet and Animal Medical Centres shall be officially addressed using the naming and numbering conventions as set out in this policy in Section 10.9 – Naming of Building Conventions and Section 11.6 – Numbering Conventions.	
<b>Utility</b>	<b>Waste Management</b>	All Waste Management sites shall be officially addressed.	
		Waste management sites that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided that the waste management site lies within the named street/area and no other waste management site is already using the same or similar name.	
		Waste management sites shall not be allocated a street number.	

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		All names for waste management sites are subject to the same naming conventions as set out in this policy in Section 10.9 – Naming of Building Conventions.	
	<b>Land Fill</b>	All Landfill sites shall be officially addressed.	
		Landfill sites that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided that the waste management site lies within the named street/area and no other waste management site is already using the same or similar name.	
		Landfill sites shall not be allocated a street number.	
		All names for landfill sites are subject to the same naming conventions as set out in this policy in Section 10.9 – Naming of Building Conventions.	
	<b>Power Station</b>	All Power Stations shall be officially addressed.	
		Power stations that are to be named/renamed can use the name of existing streets or geographical areas within the Borough provided that the waste management site lies within the named street/area and no other waste management site is already using the same or similar name.	
		Power stations shall not be allocated a street number.	
		All names for power stations are subject to the same naming conventions as set out in this policy in Section 10.9 – Naming of Building Conventions.	

## APPENDIX D – Frequently Asked Questions

### 1. How do I register a new build/development/change existing house name/add a house name/query with my address?

Please complete the Street Naming and Numbering application form either online [www.barnet.gov.uk](http://www.barnet.gov.uk) or download the PDF and complete and return to [street.naming@barnet.gov.uk](mailto:street.naming@barnet.gov.uk).

Please ensure the following is submitted supporting a Street Naming and Numbering application:

- Site location plan – showing site location in relation to any existing streets
- Site layout plan(s) – showing unique plot numbers and placement of front door or primary access of each plot
- The appropriate fee
- Where new streets are to be addressed, georeference CAD drawings
- Accommodation schedule for large developments
- Where applicable, internal layout plans for developments which are subdivided at floor level – showing unique plot numbers and placement of front door or primary access of each plot

For address queries, please email in with details to [street.naming@barnet.gov.uk](mailto:street.naming@barnet.gov.uk) so that a full investigate can be undertaken.

### 2. Who should apply for SNN?

- Owners or property developers building new houses, commercial or industrial premises, or;
- Owners or property developers undertaking conversion of existing residential, commercial or industrial premises which will result in the creation of new properties or premises, or;
- Owners wishing to amend their existing building name or add a building name to an existing numbered property.

The applicant should be the property developer, property owner, or an agent acting on their behalf. Developers should be aware that it is your responsibility to contact us to secure addresses for the development.

### 3. When should I apply for SNN?

Applications for new streets and addresses should be submitted as soon as possible after permission for the proposal has been granted. This is important as:

- A proposed new street must be approved by the Local Authority before addresses can be allocated to it (including a 28 day public consultation period), and;
- Most utility companies are reluctant to install services where an Official Address has not been allocated.

### 4. How long does it take to allocate an address?

The length of time taken for a Street Naming and Numbering application to be processed is dependant on a number of factors, such as complexity of the site and the potential need to carry out a consultation.

Major redevelopment sites, depending on the size, generally take longer as the process is often dependant on new street names being approved. The process is lengthened further if there are objection to any part of the proposal. Applicants should be considerate of the time taken for full consultation.

For more straightforward changes of address or requests for new address, application can usually be processed within 5-6 weeks.

#### **5. Is there a charge for the Street Naming and Numbering service?**

Yes, please refer to our fees and charges which can be found on our website [www.barnet.gov.uk](http://www.barnet.gov.uk)

Fees and charges application for the Street Naming and Numbering service are reviewed annually.

#### **6. I have a property name and number; can I use the name instead of the number?**

No, all buildings must be numbered as this is the primary postal address. The building name is regarded as an alias and can be used in conjunction with the number. The name cannot be used instead of the number.

#### **7. Can I change/add a house name to my property?**

Yes, so long as the suggested name complies with this the conventions as set out in this policy in Section 10.9 – Naming of Building Conventions. If your property already has a name, you can change it and if you property has a number only, a property name can be added.

#### **8. My property, which is a new build and has been allocated an Official Address, does not appear on the Royal Mail database, why is this?**

Once the Local Authority has issued a formal decision, Royal Mail must be informed that the dwelling is built/occupied before they can release the postcode onto their 'live' database. Within the decision noticed issued, there is an activation paragraph:

The Royal Mail have confirmed the postcodes for the new development and added them to their system. However, they do not make this information live until they are informed that properties are occupied/able to receive mail. You can do this by either calling Royal Mail on 08456 011110 Automated System: Option 3: Option 1 or by emailing Royal Mail [addressmaintenance@royalmail.com](mailto:addressmaintenance@royalmail.com)

#### **9. I have a query regarding my postcode/the incorrect delivery of mail, who can help with this?**

All queries regarding postcodes or the incorrect delivery of mail should be directed to Royal Mail by visiting [www.royalmail.com](http://www.royalmail.com) or contacting them on directly.



### **10. What will happen if I decide not to use your service to allocate an address to my property or development?**

The London Borough of Barnet has the power to assign any name, where seen fit, to any street, row of houses or block of buildings, as well as having the powers to assigned any building for the purpose of distinguishing them, with a street number. The London Borough of Barnet is also under a duty to ensure that all names and building numbers are set up and kept set up. Failure to comply with this may result in enforcement action being taken. For full details see Section 17 – Enforcement of Street Naming and Numbering in this policy.

### **11. Can I change my address and tell Royal Mail myself?**

Royal Mail will not accept new or amended property details from any organisation other than the Local Authority, it is also important that your address is correctly registered with the Local Authority so the information can be passed onto the Emergency Services.

### **12. Is there a fee to remove a property name?**

Yes, there is a fee for all Street Naming and Numbering services.

### **13. What types of development do I need to apply for?**

Anyone development that is taking place within the London Borough of Barnet that will require the creation of an address or the change of address, should apply to Street Naming and Numbering. This includes:

- New build developments (including demolishing and re-building a single property)
- Splits (e.g. conversion of a single building to flats or commercial units)
- Mergers (e.g. conversion of two units into one) Moving the main entrance to a different street

### **14. What are the consequences if a property is not registered with an Official Address?**

If a property does not have an official address, occupiers are likely to experience significant difficulties. Occupiers using incorrect addresses or moving into a new property that has not been officially registered are likely to experience the following:

- Delay/failure to receive mail and other deliveries
- The post code being used is potentially incorrect as it has not been allocated by Royal Mail
- Delay/failure in getting utilities connected
- Delay/failure in setting up financial services
- Delay/failure to access key Council Services
- Delay/failure to be located in an emergency situation potentially causing loss of life

### **15. My address differs between different council departments, why is that?**

Ideally, every building should have one unique address. For all new developments, street names are allocated and buildings are numbered on that street accordingly, these buildings therefore, will not experience any address discrepancies.

However, where buildings have not gone through the formal Street Naming and Numbering application process or for historical addresses that do not adhere to this policy addresses may differ. Some departments also do not have access to the information on the Local Land

and Property Gazetteer, meaning the information will be held on their databases that may not conform to this policy. We are endeavouring to ensure that these discrepancies are resolved as quickly as possible and with minimal impact to the building owner.

The confirmation of address process may need to be followed, see Section 12 – Confirmation of Address within this policy.

**16. I have planning permission for my development from the London Borough of Barnet, why isn't the address included in that?**

Although planning permission may have been granted, the Street Naming and Numbering department is the only department within the Local Authority that can create or change addresses within the borough boundary. We advise applicants that any development or conversion which necessitates the removal, changing or creation of an address or addresses must be officially registered by the Local Authority through the formal 'Street Naming and Numbering' process.

**17. I have received a letter from the Street Naming and Numbering department about an unauthorised address being used, what should I do?**

Information about unauthorised addresses may be obtained from both internal and external sources. We will write to you if we have identified a discrepancy against an official address held. It is likely that a Street Naming and Numbering application will be requested, however, in some circumstances, the confirmation of address may be followed. The letter will state how to proceed and give you the opportunity to rectify the issues before enforcement action is taken.

## APPENDIX E – Distribution List

The London Borough of Barnet sends monthly updates to the following internal departments and external companies to keep them informed of any new or amended addresses within the Borough.

### External:

- Royal Mail
- Valuation Office Agency
- Ordnance survey
- Land registry
- A-Z Map Company Ltd
- Three Valleys Water
- Thames Water
- London Ambulance
- Metropolitan police
- London Fire Brigade
- British Telecoms
- British Gas

### Internal:

- Council Tax
- Electoral Registration
- Local Land Charges
- Highways
- Barnet Homes
- Infrastructure and Parking
- School Admissions
- Information Systems Customer and Support Group (CSG)

## APPENDIX F – Glossary

- **Access Road** – a Street whose main function is to give access to buildings rather than provide a through route.
- **BS7666** – British Standard used for compilation and implementation of addressing.
- **Building** - a structure with a roof and walls
- **Building Prefix** – A word placed before another, e.g. Flat.
- **Building Suffix** – Building names ending with a terminal word
- **Compulsory Numbering** - a process that mandates the use of a new address
- **House naming** – Amending a name or adding a name to a property
- **Infill** – Property built between two existing properties or in the grounds of an existing property
- **Numbering** – allocating numbers and suffixes to properties, e.g. houses, bungalows, flats, maisonettes, industrial units, retail units, etc.
- **Numbering Suffix** - Letter following a number, e.g. 25A, 25B, (in-fill)
- **Plot** – A new property that is being built
- **Renaming** – Changing the name of an existing street
- **Renumbering** – Changing the house number or suffix for another
- **Retrospective numbering** - undertaken when a developer has failed to apply for Street Naming and Numbering but requires addresses for an existing building
- **Road naming** – allocating a name to a new street
- **Street** – Includes any highway, road, bridge, lane, mews, footpath, square, court, alley, passage whether thoroughfare or not
- **Street Suffix** – Street name ending with a terminal word
- **Unauthorised** – An addresses that is not officially registered with the Local Authority

## Appendix G - Official Address Vs. Postal Address

The **Official Address** is held in the BS7666 format, which conforms to national standard for addressing BS7666:06. The Government prescribes this form of address for various statutory purposes, such as Planning applications and the Electoral Register. It is used in the Local Authorities primary address register, the Local Land and Property Gazetteer (LLPG). It is also the basis of the National Address Gazetteer to provide a single address list across the whole public sector. If an Official Address has been allocated, it does not necessarily mean that the building/land is postally addressable.

The **postal address** is the form of the address held by Royal Mail for the delivery of post. A Postcode will only be allocated by Royal Mail to properties that either a residential dwelling or a bon fide business address that has clear signage displaying the business name. The building (if business) needs to be occupied during business hours and must have a mail delivery point (letterbox) that is secure and easily accessible for the delivery of mail. Royal Mail accepts no responsibility for the use of the postal address for any other purpose than delivery of mail by them.

The following summarises the difference between the two types of address:

Address Element	Postal Address	Official Address (BS7666 Standard)	SNN Decision Notice
Flat Number/Name	Not usually included	Always included	Included if applicable
Property Name	Only included if no number	May be included for any property	Included if applicable
Property Number	Always included	Always included	Always included
Street Name	Not always included in rural areas	Always included	Always included
Locality/Village	Included where Royal Mail have operations need	Included where such a name exists	
Town	Included where Royal Mail have operations need	Always included	Always included
Post Town	Always included	Recorded separately from actual town	
Postcode	Always included where allocated	Always included where allocated	Always included

Locality names are not included in the Official Address as these areas do not have formally defined boundaries. A locality is only included in the Official Address in exceptional circumstances, where existing street names have historically been duplicated within the borough area. However, a locality name may be used in an address informally.

A 'town' name shall always be allocated to a street, which could be a larger village, city, borough town or recognised settlement name. It is the geographic name, rather than the Royal Mail 'Post Town'.



## Policy and Resource Committee

3 Oct 2019 AGENDA ITEM 13

<b>Title</b>	<b>Increasing Room Hire Charges for Hendon Town Hall and North London Business Park</b>
<b>Report of</b>	Chairman of the Policy and Resources Committee
<b>Wards</b>	Hendon Oakleigh Colindale
<b>Status</b>	Public
<b>Urgent</b>	No
<b>Key</b>	No
<b>Enclosures</b>	Appendix A: List of the prices that have been calculated prior to rounding. Appendix B: Running Costs
<b>Officer Contact Details</b>	Iliana Koutsou Programme Manager – Special Projects <a href="mailto:iliana.koutsou@barnet.gov.uk">iliana.koutsou@barnet.gov.uk</a> 02083595494  Chris Smith Assistant Director, Estates <a href="mailto:Chris.Smith@Barnet.gov.uk">Chris.Smith@Barnet.gov.uk</a> 02083592987

### Summary

At present, many LBB rooms for hire are (1) not being hired at market rate and/or (2) not covering the running costs of having the space open for hire. To rectify this, it is proposed that the charges for hiring rooms are increased. The proposed increases to room hire charges range from 10.7% to 16.7%, depending on the costs or market value of the space.



## Officers Recommendations

### 1. It is recommended that the committee approve the following changes in room hiring fees to be implemented once committee approval is received:

#### Hendon Town Hall:

- Council Chamber, Mon-Fri, half-day: £300 to £360.
- Council Chamber, Mon-Fri, full-day: £600 to £720.
- Council Chamber, Sat, half-day: £375 to £420.
- Council Chamber, Sat, full-day: £750 to £845.
- Committee room 1, 2 or 3, Sat, half-day: £300 to £345.
- Committee room 1, 2 or 3, Sat, full-day: £600 to £690.
- Committee room 1, 2 or 3, Sun, half-day: £375 to £430.
- Committee room 1, 2 or 3, Sat full-day: £750 to £860.
- Hendon Town Hall kitchen, Sun, half-day: £175 to £185 (hire cost for the kitchen unchanged for all other times)
- Leader's Room, Mon 5:30pm-8:30pm for £10, for registered Barnet based charities only, each charity limited to one booking per month

#### The Atrium, North London Business Park:

- Weekdays (out of hours): standardised to £40 per hour
- Saturday: standardised to £50 per hour.
- Sunday: standardised to £65 per hour.

#### 2 Bristol Avenue, Colindale Office\*

- **Conference room: whole room** capacity approximately 100 people, 101sq.m/1,091sq.ft
  - Half day £550
  - Full day £1,100
- **Conference Room: Large Section** capacity approximately 70 people, 67.5sq.m/727sq.ft
  - Half day £400
  - Full day £800
- **Conference Room: Small Section** capacity approximately 30 people, 34sq.m/364sq.ft
  - Half day £175
  - Full day £350
- **Meeting Room 1:** capacity approximately 6-8 people, 13.5sq.m/145sq.ft
  - Half Day £85
  - Full Day £165
- **Meeting Room 2:** capacity approximately 2-4 people, 8.35sq.m/89.88sq.ft
  - Half Day £50
  - Full Day £100

- **Meeting Room 3:** capacity approximately 4-6 people, 11.14sq.m/120sq.ft
  - Half Day £70
  - Full Day £135
- **Letting of the entire Conference Facility:** Conference room, Meeting Room 1, Meeting Room 2, Meeting Room 3, break out area in front of the Conference room, and access via the stairs from Reception.
  - Half Day £1,000
  - Full Day £2,000

\*These hire rates are based on comparable conference room hire rates in the same geographical areas as the Colindale office. Only once we test the rates on the open market will we know whether they are realistic, and whether adjustments are required, as well as judge whether different weekend rates are required. Barnet-based registered charities will be eligible for an 80% discount on Colindale office hire costs.

These proposed changes ensure that costs are covered in each space and bring the space closer to its market value.

## 1. WHY THIS REPORT IS NEEDED

1.1 Estates require Member approval to increase room hire rates across the Borough. In doing this, the actual costs incurred when hiring rooms out will be covered. The current room hire prices are outlined in paragraph 1.2.

### 1.2 Current Position:

#### Hendon Town Hall

Full day hire – 13 hours from 8am-9pm

	Council chamber	Heritage room	Committee room 1, 2 or 3	Kitchen hire
Mon-Fri	£600	£450	£450	£250
Saturday	£750	£600	£600	£300
Sunday	£900	£750	£750	£350

Half day hire – 6.5 hours between the hours of 8am-9pm:

	Council chamber	Heritage room	Committee room 1, 2 or 3	Kitchen hire
Mon-Fri	£300	£225	£225	£125
Saturday	£375	£300	£300	£150
Sunday	£450	£375	£375	£175

#### The Atrium – North London Business Park:

- No standardised price at present.

#### 2 Bristol Avenue, Colindale Office

- Current position is that conference facilities are not yet marketed for hire

- Proposed rates, based on local comparable evidence, are to be adjusted accordingly once tested on the market, if needed. The requirement for adjusted weekend rates will also be adjusted once the rates are tested on the open market

	Whole Conference Room	Large section of Conference Room	Small Section of Conference Room	Meeting Room 1	Meeting Room 2	Meeting Room 3	Entire Facility
<b>Half Day</b>	£550	£400	£175	£85	£50	£70	£1,000
<b>Full Day</b>	£1,100	£800	£350	£165	£100	£135	£2,000

- Barnet-based registered charities will be eligible for an 80% discount on Colindale office hire costs.

	Whole Conference Room	Large section of Conference Room	Small Section of Conference Room	Meeting Room 1	Meeting Room 2	Meeting Room 3	Entire Facility
<b>Half Day</b>	£110	£80	£35	£17	£10	£14	£200
<b>Full Day</b>	£220	£160	£70	£33	£20	£27	£400

- Costs**

To provide an indication of the annual costs to be recovered, the service charge allocation for each room is as follows, based on an average rate of £19psf.

Room	Square Feet	Approx Annual Service Charge
Conference Room	1,091	£20,700
Meeting Room 1	145	£2,755
Meeting Room 2	89.88	£1,700
Meeting Room 3	120	£2,280

## 2. REASONS FOR RECOMMENDATIONS

2.1 It is recommended that the prices of rooms for hire in Hendon Town Hall and the Atrium (North London Business Park) are increased. This will allow the Council to cover its costs and bring room hire charges closer to market rates for commercial users. Paragraph 2.2 lists the percentage by which rooms at Hendon Town Hall are below market value. To calculate market value, room hire prices from across the Borough from the website Hallshire.com were averaged, to give a working-hours and out-of-hours price that reflected the room's capacity. See paragraph 7.1 for specific market value figures.

2.2 Proposed changes for Hendon Town Hall rooms for hire:

- Council Chamber, Mon-Fri, half-day: £300 (42.1% below market value) to £360 (30.6% below market value)
- Council Chamber, Mon-Fri, full-day: £600 (42.1% below market value) to £720 (30.6% below market value)
- Council Chamber, Sat, half-day: £375 (37.8% below market value) to £420 (30.4% below market value)
- Council Chamber, Sat, full-day: £750 (37.8% below market value) to £845 (30% below market value)

- Committee room 1, 2 or 3, Sat, half-day: £300 (54.9% below market value) to £345 (30.6% below market value)
- Committee room 1, 2 or 3, Sat, full-day: £600 (54.9% below market value) to £690 (30.6% below market value)
- Committee room 1, 2 or 3, Sun, half-day: £375 (43.7% below market value) to £430 (30.4% below market value)
- Committee room 1, 2 or 3, Sun full-day: £750 (43.7% below market value) to £860 (30% below market value)
- Hendon Town Hall kitchen, Sun, half-day: £175 (3.4% below cost) to £185 (Market value could not be calculated for the Kitchen)

2.2 The increase to the space to hire at Hendon Town Hall was capped at 70% of the space's market value or 15% (the average hire cost increase) to remain competitive.

2.3 To simplify the final costs, calculations were rounded to the nearest multiple of 5. Please see the rounded calculations in paragraph 7.1.

2.4 To summarise, the proposed new charges at Hendon Town Hall are:

Half day:

Rooms	Mon-Fri	Sat	Sun
Council Chamber	£360	£420	£450 (No Change)
Committee room 1, 2 or 3	£375 (No Change)	£430	£430
Heritage room	£225 (No Change)	£300 (No Change)	£375 (No Change)
Hendon Town Hall kitchen	£125 (No Change)	£150 (No Change)	£185

Full Day:

Rooms	Mon-Fri	Sat	Sun
Council Chamber	£845	£845	900 (No Change)
Committee room 1, 2 or 3	£450 (No Change)	£690	£860
Heritage room	£450	£600	£750
Hendon Town Hall kitchen	£250 (No Change)	£500 (no Change)	£185

2.5 The Atrium, North London Business Park currently has no fixed price. The new proposed per hour prices were calculated using the costs of security and cleaning, factoring in a 50% profit margin. These costs supplied by facilities management are detailed below:

- The Atrium, North London Business Park, weekdays: £15.57 (security) + £10.50 (cleaning) x 1.5 (to account for void periods) = 39.105 rounded to £40 per hour.
- The Atrium, North London Business Park, Saturday: £16.24 (security) + £10.50 (cleaning) x 1.5 (to account for void periods) = 53.48 rounded to £50 per hour.

The Atrium, North London Business Park, Sunday: £22.28 (security) + £10.50 (cleaning) x 1.5 (to account for void periods) = 65.56 rounded to £65 per hour.

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

- 3.1 Room Charges could be left at the rates they are currently. This option is not being considered as costs would not be covered.
- 3.2 Room hire fees could be increased to be above costs and market value. This would mean that the Council would not be able to compete against other room hire providers and would exclude some residents.

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

- 4.1 If the recommendation is approved, the Council's website advertising room prices will be updated, and staff involved in the hiring of rooms and liaising with community groups hiring space will be informed of the changes.

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

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

- 5.1.1 The Corporate Plan states that over the next 5 years Barnet needs to save £75 million. Increasing room hire charges will further this aim. This will free up money and allow Barnet to continue its priority of investing in community facilities to support a growing population, such as schools and leisure centres.

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

- 5.2.1 The revenue from external room hire goes to LBB, to cover actual costs incurred.
- 5.2.2 Increasing room hire charges are expected to result in an increase in income for the Council. The increased room charges were calculated using figures supplied by facilities management (the cost of staffing, security and an estimate of utilities) based on the cost of having rooms open for hire and equivalent market rate averaging (see appendix 7.1 and appendix 7.2).
- 5.2.3 Any potential increase in income will be influenced by the number of people who hire space.

#### **5.3 Social Value**

This decision does not relate to a service contract therefore there are no social value considerations.

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

- 5.4.1 The Local Government Act 2003 provides Barnet Council with the power to charge for discretionary services. This is on the basis that the Council is not prevented from charging for this service by way of any other alternative legal provision. It is also necessary when comparing one year with another, the income from these charges do not exceed the cost of the provision of the service.
- 5.4.2 In addition, the Localism Act 2011 provides for local authorities to utilise their general power of competence which confers on them the power to charge for services. This

again is subject to certain conditions similar to those stated above in paragraph 5.4.1.

5.4.3 It is good practice for any amendments made to fees charged by the Council to be adequately publicised within the local community.

5.4.4 In accordance with Article 7 of the Council’s Constitution (Committees, Forums, Working Groups and Partnerships), the Policy and Resources Committee has the responsibility of determining “.... Fees and charges for the services which are the responsibility of the committee to note decisions taken by theme committees...”. Accordingly, authorisation is sought from members of the Policy and Resources Committee.

## 5.5 Risk Management

<b>Risk</b>	<b>Owner</b>	<b>Cause</b>	<b>Consequence</b>	<b>Mitigation</b>
Less Hires (low risk)	LBB Estates	The public are not able to afford to hire space/do not want to pay higher fees.	Reduction in income	The Council is not raising rental costs above market value, and will increase advertising on social media and at Hendon Town Hall to counteract any drop on room hires. Advertising the rooms will be at minimal cost to the Council. To further mitigate this, this report proposes the Leader’s room is made available to Barnet based registered charities on Mondays from 17:30-20:30 at a cost of £10.

## 5.6 Equalities and Diversity

5.6.1 At present, there is no favourable rate for Barnet based charities to hire space at Hendon Town Hall. It is proposed to make the Leader’s room available to hire on Mondays from 17:30-20:30 at a cost of £10 for the evening. This opportunity will be available to registered charities which are Barnet-based. A Barnet-based registered charity will be limited to hiring this space to once per month.

5.6.2 An 80% discount on hire rates is also available to Barnet based registered charities to hire space at the Council’s Colindale office.

## 5.7 Corporate Parenting

5.7.1 None in the context of this decision.

## 5.8 Consultation and Engagement

5.8.1 There has not been any specific consultation or engagement activity in relation to this decision.

## 5.9 Insight

To calculate the market value for each space available to hire, an average per person/per hour price was calculated. This resulted in an average of £0.51 per person/hour (during work hours) and £0.64 (out of hours).



## **6. BACKGROUND PAPERS**

- 6.1 General Functions Committee – Hendon Town Hall Committee and Meeting Room Utilisation 28 June 2017  
<https://barnet.moderngov.co.uk/documents/s40510/Hendon%20Town%20Hall%20Committee%20and%20Meeting%20Room%20Utilisation.pdf>

# Appendices

## 7.1 Appendix A: List below shows the prices that have been calculated prior to rounding.

- Council Chamber, Mon-Fri, half-day: £363.87 to £360 (70% of market value).
- Council Chamber, Mon-Fri, full-day: £725.73 to £720 (70% of market value).
- Council Chamber, Sat, half-day: £422.24 to £420 (70% of market value).
- Council Chamber, Sat, full-day: £844.48 to £845 (70% of market value).
- Committee room 1, 2 or 3, Sat, half-day: £465.02 (70% of Market value) Capped at £345 (15% increase).
- Committee room 1, 2 or 3, Sat, full-day: £931.84 (70% of market value) Capped at £690 (15% increase).
- Committee room 1, 2 or 3, sun, half-day: £454.92 (70% of market value) capped at £431.25 (15% increase, rounded) rounded to £430.
- Committee room 1, 2 or 3, Sat full-day: £931.84 (70% of market value) capped at £862.50 (15% increase) rounded to £860.
- Hendon Town Hall kitchen, Sun, half-day: £175 to £185 (3.4% below cost).

## 7.2 Appendix B: Running Costs

### Hendon Town Hall

Time	Cleaning	Facilities management	Other
Normal hours	No additional cost	No additional cost	N/A
Out of hours: Weekday	No additional cost	No additional cost	£15.57 per hour.
Out of hours: Saturday	10.50 per hour (Max 3 hours)	£16.24 per hour	£15.57 per hour.
Out of hours: Sunday	10.50 per hour (Max 3 hours)	£22.28 per hour	N/A

### The atrium

Time	Cleaning	Facilities management	Other
Normal hours	No additional cost	No additional cost	N/A
Out of hours: weekday	No additional cost	£15.57 per booking	N/A
Out of hours: Saturday	10.50 per hour (Max 3 hours)	£16.24 per booking	N/A
Out of hours: Sunday	10.50 per hour (Max 3 hours)	£22.28 per booking	N/A

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	<p>AGENDA ITEM 14</p> <p><b>Policy and Resources Committee</b></p> <p><b>3 October 2019</b></p>
<p style="text-align: center;"><b>Title</b></p>	<p><b>Referral from the Environment Committee</b></p> <p><b>Reduction and Recycling Plan (RRP)</b>  <b>- Single use Plastic</b></p>
<p style="text-align: center;"><b>Report of</b></p>	<p>Head of Governance</p>
<p style="text-align: center;"><b>Wards</b></p>	<p>All</p>
<p style="text-align: center;"><b>Status</b></p>	<p>Public</p>
<p style="text-align: center;"><b>Enclosures</b></p>	<p>None</p>
<p style="text-align: center;"><b>Officer Contact Details</b></p>	<p>Paul Frost, Governance Team Leader  <a href="mailto:Paul.frost@barnet.gov.uk">Paul.frost@barnet.gov.uk</a></p>

### Summary

At the meeting of the Environment Committee on 11 September 2019 Members considered the Reduction and Recycling Plan (RRP). The Environment Committee agreed to refer to the Policy and Resources Committee item 9 in order for Single Use Plastic within the operations of the Council as a whole only to be considered.

### Recommendations

1. That the Policy and Resources Committee note that the Environment Committee reviewed and approved the Barnet's Reduction and Recycling Plan (RRP) at it's meeting on 11 September 2019.
2. That the Policy and Resources Committee give consideration to Single Use Plastic within the operations of the Council as a whole only and provide instructions as appropriate.

## 1. WHY THIS REPORT IS NEEDED

1.1 The Environment Committee on 04 March 2019 considered a Members Item titled *Make Barnet Plastic Free*, in the name of Councillor Jo Cooper. At this meeting the Environment Committee unanimously resolved:

- *That the Members Item be noted*
- *That the Environment Committee agreed to support the North London Waste Authority proposals*
- ***That the Environment Committee noted that the detail of this item be incorporated within the Recycling and Waste Plan that was due to be reported in September 2019.***

1.2 The Environment Committee on 11 September 2019 considered the Reduction and Recycling Plan (RRP). At this meeting the Environment Committee Resolved:

- That the Environment Committee reviewed and approved Barnet's Reduction and Recycling Plan (RRP) as set out in Appendix A.

The vote was:

For – 6

Against – 4

- That the Environment Committee **unanimously** agreed to refer the report to Policy and Resources Committee in respect to Single Use Plastic within the operations of the Council as a whole only for consideration.
- That the Council commits to reintroducing a separate food waste service as previously agreed and as was operating before.

The vote recorded was:

For – 4

Against – 6

1.3 The Policy and Resources Committee are therefore requested to consider Single Use Plastic within the operations of the Council as a whole only.

## 2. REASON FOR REFFERAL

2.1 During the consideration of the Item Councillor Alan Schneiderman moved that single use Plastic within the operations of the Council as a whole be referred to the Policy and Resources Committee. This was put to the vote and unanimously agreed.

## 3. REASONS FOR RECOMMENDATIONS

3.1 The Policy and Resources Committee instructions are requested.

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

4.1 None.

#### **5. POST DECISION IMPLEMENTATION**

5.1 The Policy and Resources Committee instructions are requested. Any post decision or implantation is reliant on the resolution of the Committee.

#### **6. IMPLICATIONS OF DECISION**

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

6.2 Members are requested to note that a decision made may have an impact to funding and other resources.

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

6.3.1 The Council's Constitution, article 2 provides provision for key items to be referred to a parent Committee. The Environment Committee have refereed an element of the Reduction and Recycling Plan for consideration.

##### **6.4 Risk Management**

6.5 None applicable

##### **6.6 Equalities and Diversity**

6.7 None applicable

##### **6.8 Consultation and Engagement**

6.9 None applicable.

#### **7. BACKGROUND PAPERS**

7.1 [Environment Committee Wednesday 11th September, 2019 6.30 pm](#)

7.2 [Environment Committee Tuesday 4th June, 2019 7.00 pm](#)



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

**2019 - 2020**

Title of Report	Overview of decision	Chief/Lead Officer(s)	Issue Type (Non key/Key/Urgent)
<b>10 December 2019</b>			
Customer Service  Referral from Full council – 30 July 2019  Motion in the name of Cllr Daniel Thomas  Full text <a href="#">here</a>	To consider and approve;  1. Full programme of improvements with £1,000,000 of investment before the end of 2019  2. A longer-term improvement plan for Customer Service	Deputy Chief Executive  Director of Commercial & ICT Services	Key
Business Planning	To approve the Business Planning report prior to a period of public consultation	Director of Finance (Section 151 Officer)	Key
Procurement Forward Plan 2020/21	To approve the Forward Plan	Director of Finance (Section 151 Officer) Director of Commercial & ICT Services	Key
Q2 2019/20 Strategic Performance Report	To receive a quarterly performance report.	Director of Finance (Section 151 Officer) Director of Commercial & ICT Services	Non-key
Local Heritage List	Review of the Local List of Buildings of Architectural or Historic merit, including the inclusion of new nominations. Responses to a consultation exercise from owners and other interested parties. Committee to consider and approve the revised Local Heritage List.	Deputy Chief Executive	Non key
<b>19 February 2020</b>			

Title of Report	Overview of decision	Chief/Lead Officer(s)	Issue Type (Non key/Key/Urgent)
Business Planning	To approve and recommend the Budget and Medium Term Financial Strategy to Full Council on 3 March 2020.	Director of Finance (Section 151 Officer and Chief Finance Officer)	Key
Equalities Policy	To approve the refreshed Equalities Policy.	Deputy Chief Executive	Non-key
Q3 2019/20 Strategic Performance Report	To receive a quarterly performance report.	Director of Finance Director of Commercial & ICT Services	Non-key
<b>Items to be Allocated</b>			
Barnet's Local Plan – Preferred Approach (Reg 18 stage)	To agree and approve Barnet's Local Plan (Preferred Approach) for public consultation.	Deputy Chief Executive	Key
Greenspaces Assessment Report	Committee to consider and approve the proposals for the alternative use of greenspaces.	Executive Director - Environment Strategic Lead: Greenspaces & Leisure	Non-Key
Draft Affordable Housing Supplementary Planning Document	To approve the draft Supplementary Planning Document for Affordable Housing for consultation.	Deputy Chief Executive	Non-key

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