



## **Community & Children's Services Committee**

### **REPORTS FOR INFORMATION ONLY**

**11 February 2022**

26. **CITY & HACKNEY SAFEGUARDING CHILDREN PARTNERSHIP (CHSCP) - ANNUAL REPORT 2020/21**

(Pages 3 - 4)

27. **PROVISION FOR YOUNG PEOPLE IN THE CITY OF LONDON**

(Pages 5 - 12)

28. **HOUSING ACTION PLAN ENERGY EFFICIENCY PROGRESS**

(Pages 13 - 30)

29. **SOCIAL CARE CASE MANAGEMENT SYSTEM.**

(Pages 31 - 50)

#### **Non-public information report**

30. **ALMSHOUSES UPDATE**

(Pages 51 - 58)

This page is intentionally left blank

Committee(s)	Dated: 7 February 2022
Safeguarding Sub Committee	
Subject: City & Hackney Safeguarding Children Partnership Annual report 2020/21	
Which outcomes in the City Corporation's Corporate Plan does this proposal aim to impact directly?	Contribute to a flourishing society - People are safe and feel safe.
Does this proposal require extra revenue and/or capital spending?	N
If so, how much?	N/A
What is the source of Funding?	N/A
Has this Funding Source been agreed with the Chamberlain's Department?	N/A
Report of:	The CHSCP Jim Gamble QPM on behalf of the CHSCP's Safeguarding Partners
Report author:	

## Summary

**The CHSCP Annual Report 2020/21 is available [HERE](#).**

In line with statutory guidance (Working Together 2018) and in order to bring transparency for children, families and all practitioners about the activity undertaken, safeguarding partners must publish a report at least once in every 12-month period.

The City & Hackney Safeguarding Children Partnership annual report for 2020/21 sets out examples of the **impact, evidence, assurance and learning** arising from the safeguarding arrangements in the City of London and the London Borough of Hackney. It covers and reports on activity between 1st April 2020 and 31st March 2021 and includes the following:

- The governance and accountability arrangements for the CHSCP's safeguarding arrangements.
- The context for safeguarding children and young people in the City of London, highlighting the progress made by the City partnership over the last year.
- The context for safeguarding children and young people in the London Borough of Hackney, highlighting the progress made by the Hackney partnership over the last year.

- The lessons that the CHSCP has identified through its Learning & Improvement Framework and the actions taken to improve child safeguarding and welfare as a result of this activity.
- The range and impact of the multi-agency safeguarding training delivered by the CHSCP.
- The CHSCP's priorities going forward and the key messages for those involved in the safeguarding of children and young people.

### **Recommendation(s)**

To note the contents of the report

Jim Gamble QPM  
Independent Child Safeguarding Commissioner, CHSCP

<b>Committee:</b>	<b>Dated:</b>
Safeguarding Sub-Committee – For Information Community and Children’s Services Committee – For Information	7/02/2022 11/02/2022
<b>Subject:</b> Provision for Young People in the City of London	<b>Public</b>
<b>Which outcomes in the City Corporation’s Corporate Plan does this proposal aim to impact directly?</b>	1, 2, 3, 4
<b>Does this proposal require extra revenue and/or capital spending?</b>	<b>N</b>
<b>If so, how much?</b>	<b>N/A</b>
<b>What is the source of funding?</b>	<b>N/A</b>
<b>Has this funding source been agreed with the Chamberlain’s Department?</b>	<b>N/A</b>
<b>Report of:</b> Andrew Carter, Director of Community and Children’s Services	<b>For Information</b>
<b>Report author:</b> Greg Knight, Interim Senior Commissioning Manager, Commissioning and Partnerships	

## Summary

This report provides Members with highlights of universal youth and play provision in the City of London. It sets out the services, aims, providers, quarter three (Q3) highlights, and the opportunities identified for improvement.

## Recommendation

Members are asked to:

- Note the contents of the report.

## Main Report

### Background

1. The Commissioning Team leads on the key activities and procurements for youth service contracts within the Department of Community and Children’s Services (DCCS). The team manages all elements of the commissioning cycle, including analysing, planning, implementing and reviewing these services, through quarterly monitoring meetings.
2. This report has been prepared on the request of Members of the DCCS Committee to provide details of the current provision for young people in the City of London.
3. The scope of the report includes details of the universal youth and play services and associated initiatives which are commissioned to meet statutory government requirements. The report does not include the full details of the range of Education and Early Years and 0–19 Public Health

services. Further information relating to the wider service offer can be found on the City of London's Family Information Service website directory.

## **Current Position**

4. The current commissioned provision available to young people in the City of London consists of the following services:
  - Universal Youth and Play- Golden Lane
  - Universal Youth and Play- Portsoken
  - City Youth Forum
  - Afghan Youth Service
  - Community Sports Development Service
  - Holiday and Food (HAF) Programme.
5. The services target young people that live in the City of London. The Youth Forum is available for people that live, work or study within the square mile.
6. All commissioned providers are required to have safeguarding and insurance policies in place, which are to be comprehensive and reviewed annually. Additionally, staff delivering the services are to be trained and Disclosure and Barring Service (DBS) checked.
7. In addition to the commissioned services, young people in the City benefit from non-contractual arrangements, including the grant-funded provision of the Scout Association, and the youth provision delivered by YMCA London City and North, independent from its leased building on Whitecross Street.
8. The Commissioning Team is currently in the process of retendering the universal youth and play service, which will replace the current Golden Lane and Portsoken provision. The procurement approach seeks to appoint one provider to deliver across the City and will begin in Q1 of 2022/23.

## **Commissioned services highlights**

9. This section sets out the key providers, service aims, quarter highlights and the opportunities for improvement within the commissioned services.
10. **Universal Youth and Play- Golden Lane**

**Provider:** YMCA London City and North

**Contract expiry:** 31/03/22

**Overarching service aim:** To deliver youth services that adhere to the youth work and play principles and that raise the aspirations of children and young people in the City of London.

**Service users:** 8–19 year olds (25 years for care leavers and those with SEND).

**Delivery:** Weekly at Golden Lane Community Centre. An additional service, which is not commissioned by the department, is provided from Whitecross Street.

**Priority groups:** Looked-after children, children leaving care, SEND, identify as LGBTQIA+, young carers, at risk of offending, Bangladeshi background, not in education, employment or training (NEET) and young people living on the Mansell Street, Middlesex Street and Golden Lane estates.

**Quarter highlights:**

- Sessions delivered: 21
- Young people engaged: 29
- Total attendance: 315. There has been a steady growth in the number of people attending throughout the duration of the service.
- Attendance from Golden Lane Estate residents: 6
- Young people with SEND engaging in the service: 1
- Bangladeshi girls: 0
- Volunteers in the service: 2
- Service user satisfaction: 100%
- Programme delivery included activities such as archery, a Christmas dinner and attendance of the Aldgate Lantern Festival.

**Opportunities for improvement:**

- Delivery of the new universal youth and play service, which is scheduled to begin in Q1 of 2022/23.
- Increasing engagement and participation among older age groups and priority groups.
- Increase the number of time credits issued to young people within the service.
- Increased online promotion and social media presence.

**11. Universal Youth and Play- Portsoken**

**Provider:** YMCA London City and North (formerly the London Borough Tower Hamlets)

**Contract expiry:** 31/03/22

**Overarching service aim:** To deliver youth services that adhere to the youth work and play principles and that raise the aspirations of children and young people in the City of London.

**Service users:** 13–19 year olds (25 years for care leavers and people with SEND).

**Priority groups:** Looked-after children, leaving care, SEND, identify as LGBTQIA+, young carers, at risk of offending, Bangladeshi background, NEET, and young people living on the Mansell Street, Middlesex Street and Golden Lane estates.

**Delivery:** Weekly at Portsoken Community Centre.

**Quarter highlights:**

- Sessions delivered per quarter: 24
- Young people engaged: 26
- Young people with SEND engaging in the service: 2
- Bangladeshi girls: 6
- Good links with Golden Lane Leisure Centre, the City's Information Advice and Guidance service, and City Police created.
- Service delivery included a range of activities such as CV writing, sports sessions, a community fun day, and outreach programmes.

**Opportunities for improvement:**

- Delivery of the new universal youth and play service, which is scheduled to begin in Q1 of 2022/23.
- Increase the number of time credits issued to young people within the service.
- Increased online promotion and social media presence.
- Maximising the use and benefits of the new Portsoken Community Centre.

## **12. City Youth Forum**

**Provider:** Prospects

**Contract expiry:** 31/01/23

**Overarching service aim:** To provide young people who live, work or study within the square mile the opportunity to shape services, get involved in campaigns, community initiatives and volunteering, and build friendships with like-minded people nationally.

**Service users:** 11–19 year olds (25 years for care leavers and people with SEND).

**Priority groups:** Looked-after children, leaving care, SEND, identify as LGBTQIA+, young carers, at risk of offending, Bangladeshi background, NEET, and young people living on the Mansell Street, Middlesex Street and Golden Lane estates.

**Delivery:** Monthly youth forums

**Quarter highlights:**

- Session delivered per quarter: 3
- Attendance in the quarter: 17



- Young people with SEND engaging in the service: 2
- Attendance from City residents on estates: 5
- The forum's activity focused on the City of London's climate strategy, with Corporation officers and members attending a session delivered at the Guildhall. The campaign and its benefits were then promoted on the forum's Instagram page.
- Provision of a drop-in session enabled young people to complete exam preparation and focus on their education and career goals. Participants who completed the sessions received specialist information, advice, and guidance to support their development.

**Areas for improvement:**

- Increase participation among City residents and priority groups.
- Review and implement opportunities for increased social media presence and engagement.
- The implementation of a new programme of commitments for the next elected Member and Deputy Members of Youth Parliament.
- Increase the number of time credits issued to young people within the service.

**13. Afghan Youth Service**

**Provider:** YMCA London City and North

**Contract expiry:** 30/06/22

**Overarching service aim:** To support people aged between 16 and 25 years old with their transition to living in England, with language and culture, facilitating engagement and the integration with different groups within the community, and to raise their aspirations.

**Service users:** 16+ year olds staying in the two Hotels in the City, as part of the Afghan Citizens Resettlement Scheme.

**Highlights:** The service has been newly commissioned to start in January 2022 following partnership work across the Corporation, which identified the specific need and approaches to meeting it. A taster session was delivered during the Christmas holidays and 38 young people attended.

**Areas for improvement:** The service will be reviewed regularly as part of the Commissioning Team's quarterly contract monitoring schedule, to develop and improve the service.

**14. Community Sports Development Service**

**Provider:** Fusion Lifestyle

**Contract expiry:** 31/03/23

**Service users:** All ages

**Overarching service aim:** To provide a balanced programme of recreational, sporting and community activity that supports the improved health and wellbeing of people living, studying and working in the Square Mile.

**Delivery:** Fusion Lifestyle deliver a range of targeted sports participation programmes for young people.

**Quarter highlights:**

- Total attendance: Over 1,175
- Junior activity attendance: 1,080
- Young people with SEND engaging in the service: 10
- Attendances for girls' school football at City of London School: 388
- Increasing London Youth Games participation, with 29 runners representing the City of London, resulting in a 13th place finish out of 33 London Boroughs
- Free use of the Golden Lane Leisure Centre sports hall to enable City of London Police to provide indoor cricket to primary-age Afghan young people
- Successful application to the Tackling Inequalities Fund in partnership with the London Sport and the City Parent Carer Forum to provide an inclusive offer to support families with young people with SEND.

**Quotes from the SEND programme:**

*“Joining this gym (Golden Lane Leisure Centre) has helped me transform to the level I’m at now. It’s really helped me progress in building my muscles and this training has really paid off. It makes me feel better and more confident.”* – Young person

*“... [he] loves coming to the sessions, and it’s been wonderful to see his confidence and self-esteem grow. They also give him a really accessible opportunity to socialise with kids his age.”* – Parent

**Opportunities for improvement:**

- Increase outreach delivery within estates and in the community. Fusion Lifestyle have plans to deliver sessions from Mansell Street estate in the spring.
- Continue to increase the number of City teams entered in the London Youth Games.
- Increase the number of City residents accessing the service.

**15. Holiday Activities and Food (HAF) Programme**

**Provider:** Fit for Sport/ The Aldgate School

**Contract period:** Easter, summer and Christmas holidays 2021 onwards

**Service users:** Children that live or go to school in the City, who are eligible for free school meals

**Overarching service aim:** The HAF Programme, funded by the Department for Education, provides children who are eligible for free school meals with activities, food and healthy eating support during the school holidays. The offer must include four hours of activity a day for four days a week, over a total of six weeks.

**Christmas HAF highlights:**

- Four full-day sports camps were delivered at Golden Lane Leisure Centre by Fit for Sport, an Ofsted-registered holiday camp provider. The service delivered a safe, supportive, and fun sporting environment.
- Eligible HAF children who attended over Christmas: 20
- Total attendance: 72
- Food vouchers provided to all eligible free school meal children.
- Food boxes provided to HAF participants.

**Opportunities for improvement:**

- Collaboration with neighbouring boroughs, expanding the range of provision available.
- Continue to drive the attendance and uptake of the HAF programme.
- Increase the offer and scope of healthy eating options.

**Corporate & Strategic Implications**

16. The Commissioning Team's work on youth services continues to support the overarching Corporate Plan and Departmental Business Plan objectives, most notably the aim to 'Contribute to a flourishing society'.

**Financial implications**

17. The Commissioning Team continues to focus on delivering value for money within services and as part of the recommissioning of the universal youth and play service. The team will also continue to work with our partners, providers and local authorities to maximise the use of available provision and funding to provide added value.

**Resource implications**

18. Not applicable.

**Legal implications**

19. Not applicable.

**Risk implications**

20. Not applicable.

**Equalities implications**

21. Equalities considerations are included throughout the commissioning and performance management of the youth provision. Youth providers are required to report on the service's outcomes, key performance indicators and the take-up of services from target groups.

### **Climate implications**

22. Not applicable.

### **Security implications**

23. Not applicable.

### **Conclusion**

24. There is a wide range of service provision available to young people in the City. The DCCS Commissioning Team continues to manage contracts to ensure continuous improvement and to address any poor performance.

### **Appendices**

- None

### **Greg Knight**

Interim Senior Commissioning Manager, Commissioning and Partnerships

T: 07821301628

E: [greg.knight@cityoflondon.gov.uk](mailto:greg.knight@cityoflondon.gov.uk)

<b>Committee:</b> Community and Children's Services	<b>Dated:</b> 11th February 2022
<b>Subject:</b> Housing Action Plan Energy Efficiency Progress	<b>Public</b>
<b>Which outcomes in the City Corporation's Corporate Plan does this proposal aim to impact directly?</b>	<b>5,10,11,12</b>
<b>Does this proposal require extra revenue and/or capital spending?</b>	<b>N</b>
<b>If so, how much?</b>	<b>N/A</b>
<b>What is the source of Funding?</b>	<b>N/A</b>
<b>Has this Funding Source been agreed with the Chamberlain's Department?</b>	<b>N/A</b>
<b>Report of:</b> Andrew Carter, Executive Director Community and Children's Services	<b>For information</b>
<b>Report author:</b> Graeme Low Energy Manager, City Surveyor's Department Lochlan MacDonald, Asset Programme Manager, Department for Community and Children's Services	

## Summary

The purpose of this report is to feedback progress in relation to the Housing portfolio tasks and objectives within the Climate Action Strategy. The work to review the implications of the two scenarios within the Housing Action Plan is expected to complete in Q1 2022/23. We continue to progress identifying opportunities within the existing capital works programme to reduce energy use and carbon emissions. Resource will be firmly in place from February 2022 to support the delivery of Housing specific actions related to carbon reduction.

## Recommendation

The Committee is asked to:

- Note the report and its contents.
- Note the introduction of the Centre of Excellence resource.
- Note the status of the Social Housing Decarbonisation Fund (wave 1) bid.

## Main Report

### Background

1. As previously reported, the UK has set in law a target to bring all its greenhouse gas emissions to net zero by 2050. To help achieve this target, the government's ambition is to improve the energy efficiency of homes, move to cleaner ways of heating homes and to halve the energy use of new buildings by the end of this decade. In October 2020, the City Corporation adopted the Climate Action Strategy

(CAS) in support of the emerging need to decarbonise the City of London Corporation operations and its assets, supporting the mitigation of climate change impacts and improving the climate resilience of its operations.

2. The CAS set out three interlinked primary objectives for the City Corporation and the Square Mile:
  - to support the achievement of net-zero emissions,
  - to build resilience, and
  - to champion sustainable growth.
3. The CAS also set out 4 targets for the City Corporation and Square Mile:
  - Net zero by 2027 in the City Corporation's operations
  - Net zero by 2040 across the City Corporation's full value chain
  - Net zero by 2040 in the Square Mile
  - Climate resilience in our buildings, public spaces, and infrastructure

## Considerations

### 4. Housing Action Plan Progress

The Housing Action Plan was presented to this Committee in September 2021. It modelled scenarios to understand if the identified pathways could reach the CAS targets for 2027 and 2040. It confirms the 2040 target can be met and exceeded, with potential to become carbon negative.

5. For the near term 2027 target two scenarios are presented:

**Scenario 1:** Retaining communal gas heating systems at York Way and Middlesex St Estates. This scenario will require **5%** (approx. 250 tCO<sub>2</sub>) of Housing CO<sub>2</sub> emissions to be reduced elsewhere within the City Corporation's operational emissions.

**Scenario 2:** Removing all communal gas heating systems alongside introducing energy efficiency measures and Solar Photovoltaics. This scenario exceeds the 2027 target by **7%**, becoming carbon negative.

6. Further survey work is currently being carried out within our wider property portfolio to confirm the best approach. It is anticipated this will be concluded in Q1 2022/23 and the Housing Action Plan re-presented to Committee with confirmation of the benefits related to each scenario in full.

The Housing Action Plan also highlighted a need to begin site surveys within housing estates to build out the detail of measures required to meet the CO<sub>2</sub> targets. This will be supported through the Centre of Excellence resource and priority sites will be reviewed in Q1 2022/3.

## **7. Crescent House - Local Authority Delivery (Phase 2) (LAD2)**

The Government has made £300m available through Local Authorities to improve the energy efficiency of low income and low energy performance homes through the LAD2 scheme. The City Corporation have been awarded potential funding of **£23,486** based on the fund criteria.

Crescent House (Golden Lane estate) is a potential block which may fit the relevant criteria. Officers are in discussion to progress the scheme which will improve heating and hot water controls, hot water tank insulation and draughtproofing in up to 38 socially rented properties at this block.

It is unlikely that the funding from the Government will be enough to cover all the works identified at the 38 flats if the scheme is approved. Officers are in discussion with grant administrators with a view to obtaining extra funding through unused grants from other authorities. Failing this, match funding from the Housing Revenue Account or CAS budgets, may be requested.

## **8. Tevatree House Retrofit Pilot**

Tevatree House is a small block of seven (2 and 3 bedroom) socially rented dwellings on the Avondale Square Estate in Southwark. The Department of Community and Children's Services are investigating the full retrofit of the block to use as an exemplar of retrofit possibilities, learning from this project will support the wider roll out of retrofit measures and support future grant applications with practical examples of what can be achieved. If such works are undertaken, there will be considerable savings in fuel use and cost to the residents and CO2 emission reductions will support our CAS targets. DCCS are discussing feasibility and survey funding with the Climate Action Strategy Team. If works are approved, central government funding will be sought but cannot be guaranteed.

## **9. Data and EPC Modelling**

The DCCS and the City Surveyors Energy Team plan to undertake a thorough audit of their own records and a sweep of the Government data base to establish a full picture of which properties (including leasehold properties) have current valid EPCs and what these are rated at. Any recommended improvements will be collated and reviewed alongside the emerging delivery plan and onsite surveys. Following on from this, authority and funding will be sought to appoint Domestic Energy Assessors to survey and provide EPCs for any of the socially rented properties without a current certificate, to complete the asset level information.

This would establish the base position of all our rented housing stock, allow for identification of trends and help identify priorities. This modelling will also support improving the quality of future grant funding applications.

## 10. George Elliston and Eric Wilkins Houses Retrofit and Refurbishment

These blocks are situated on the City's Avondale Square Estate in Southwark and contain a total of 65 dwellings, a mixture of socially rented and leased flats. Approval has been given for the City to progress a full survey of the block to establish the exact extent of repairs needed to the fabric, including the roof and windows, as well as other work that will all combine to improve the energy efficiency of the blocks and the individual dwellings.

Following Gateway two approval, officers are to meet architects to discuss previously undertaken surveys and agree requirements for developing the full retrofit and repairs works. Following on from this, it is expected that a detailed survey of the current position, repair requirements, retrofit possibilities and costed options will be produced for committee to consider. This is expected to be guided by the developing technology and design standards for capital projects that are planned to support the Climate Action Strategy.

## 11. Capital Works Programme

The DCCS already has a capital programme of works in place which include projects which will help towards reaching CAS targets:

- Window renewal – A programme of works across seven estates has already started and when completed, over 1,300 dwellings on City estates will have new, more energy efficient windows installed.
- Roof Renewal works – a total of 11 blocks across four estates are due to have roof renewal works undertaken in the next two years. Officers are investigating options for government funding to provide insulation in excess of the building regulations standard and will assess the suitability of the works to include solar and photovoltaic panels as part of the works.
- Heating Renewal - Currently, the communal heating systems at the York way and Middlesex Street estates are being replaced with a more efficient system. Whilst the new facilities will be gas fired, they will be markedly more efficient than the current ones. Residents will be able to control their own heating providing further opportunity to reduce energy usage and carbon emissions, and the potential to benefit from cost savings.
- Crescent House and Cullum Welch House at the City's Golden Lane Estate are currently heated by individual gas boilers in each property. The City are to explore options for decarbonising the heating to these blocks, such as renewables, electric heating and communal heating systems. Window and roof replacements planned may also align with any heating replacements, providing a “*whole house*” approach. This will further help to inform future actions across the housing stock.
- Across the City's residential stock which are currently heated by individual gas boilers within flats, several hundred boilers are likely to require replacement over the next 5 years. The DCCS and Energy team will explore lower carbon options for any individual gas systems that are deemed to need replacing. These relate to our



scope 3 emissions, which we are committed to reaching Net Zero Carbon (NZC) by 2040.

- A Developer, undertaking a construction project within the City has approached the City Corporation with a proposal to use the waste heat from the new building to heat Middlesex Street estate. It is projected that this could provide a significant proportion of the heat required by residents and whatever level of heat was generated from the development would be free at the point of use. Discussions are at an early stage with finer details of the arrangement needed before any formal agreement to proceed can be confirmed.

## **12. Social Housing Decarbonisation Fund Phase 1– application progress**

In October 2021, Officers applied to the Social Housing Decarbonisation Fund (SHDF) in relation to planned works at William Blake Estate and Sumner Building (Southwark Estate). The value of this project is £1.6m, with 50% (£800k) grant funding with the remainder funded through the HRA capital works programme.

The proposal provided the best fit with the grant funding criteria and includes measures to 66 properties including: front entrance doors with improved energy and fire safety rating, low energy lighting; double glazing, hot water cylinder jackets (where applicable), heating controls and thermostatic radiator valves.

In applying these measures, we anticipate these properties will reach an EPC C standard (part of the grant funding criteria). A decision was expected in December 2021; however, BEIS have now informed applicants that any decisions will be delayed until February 2022, with expected delivery dates adjusted accordingly. Committee will be advised of the decision from BEIS once this is received. Future waves of SHDF funding are expected in Q1 / Q2 2022/23, we will continue to review the opportunities for these future funding bids, which we anticipate will be enhanced by the support from an established centre of excellence in February 2022.

## **13. Centre of Excellence – resource**

Resource Support to ensure the mobilisation and delivery of Climate Action Strategy project plans is now in place with a planned start date of February 1<sup>st</sup>, 2022. Arcadis are now contracted to provide these services until April 2023 with an option to extend the contract for a further 12 months.

The Centre of Excellence is funded through the Climate Action Strategy and includes specific support for Housing to drive forward project plans. Additionally, the Centre of Excellence includes:

1. Resilience and Sustainable Design Coordinator	2. Heat Decarbonisation Engineer
3. Energy Project Services Housing role	4. BMS Operations Engineer role

## **Corporate & Strategic Implications**

14. **Strategic implications:** Our energy performance helps to shape outstanding environments for our residents through the reduction of CO<sub>2</sub> emissions and our commitment to procuring clean renewable energy. In this way our energy performance helps shape outcomes 5, 11 and 12 of the Corporate Plan.
15. **Financial implications:** Works to the housing stock is generally funded from The Housing Revenue Account, which is made up from rental and service charge incomes. There is already considerable strain on the HRA finances and this needs to be borne in mind when planning energy efficiency works. Chamberlains' advice will be sought on what funding from the HRA and other central City sources may be available.
- The CAS has earmarked £6m for DCCS to help achieve the scope one and two objectives across the housing stock however, substantially more funding is likely to be required. A delivery plan will be developed to use CAS funding to maximise grant opportunities and increase the specification of elements of the capital works programme such as roof insulation where viable benefits are possible.
  - The City will actively pursue any external funding for the works including the SHDF, LAD, Energy Company Obligation (ECO). We will work with other local authorities where possible to achieve improvements across more properties at lower costs.
16. **Climate implications:** The Housing portfolio is a significant contributor to the City of London Corporation's CO<sub>2</sub> emissions and features in the agreed plans to tackle these emissions to reach the scope 1 and 2 NZC targets for 2026/7 and scope 3 targets for 2040. Progress continues to be made to ensure these targets remain achievable.

## **Conclusion**

17. Progress in identifying and supporting the opportunities for carbon reduction within the Housing portfolio, continues. With further resource coming on board in February 2022, advances will be made in the delivery of the tasks highlighted within the Climate Action Strategy. This includes supporting the enhanced specification of capital projects that will impact on energy and carbon, continued applications to future rounds of grant funding and further data modelling and heat decarbonisation. The survey work across the wider building's portfolio will ensure the Housing Action Plan can return to Committee with detailed consideration of the scenarios.

## **Background Committee Papers**

- CCS Committee: Climate Action Strategy – Housing Update 5<sup>th</sup> March 2021
- CCS Committee: Housing Net Zero Carbon Action Plan – 24<sup>th</sup> September 2021

## **Appendices**

## Appendix 1– Climate Action Strategy

### **Graeme Low**

Energy Manager, City Surveyors Department

T: 07857665662

E: [graeme.low@cityoflondon.gov.uk](mailto:graeme.low@cityoflondon.gov.uk)

### **Lochlan MacDonald**

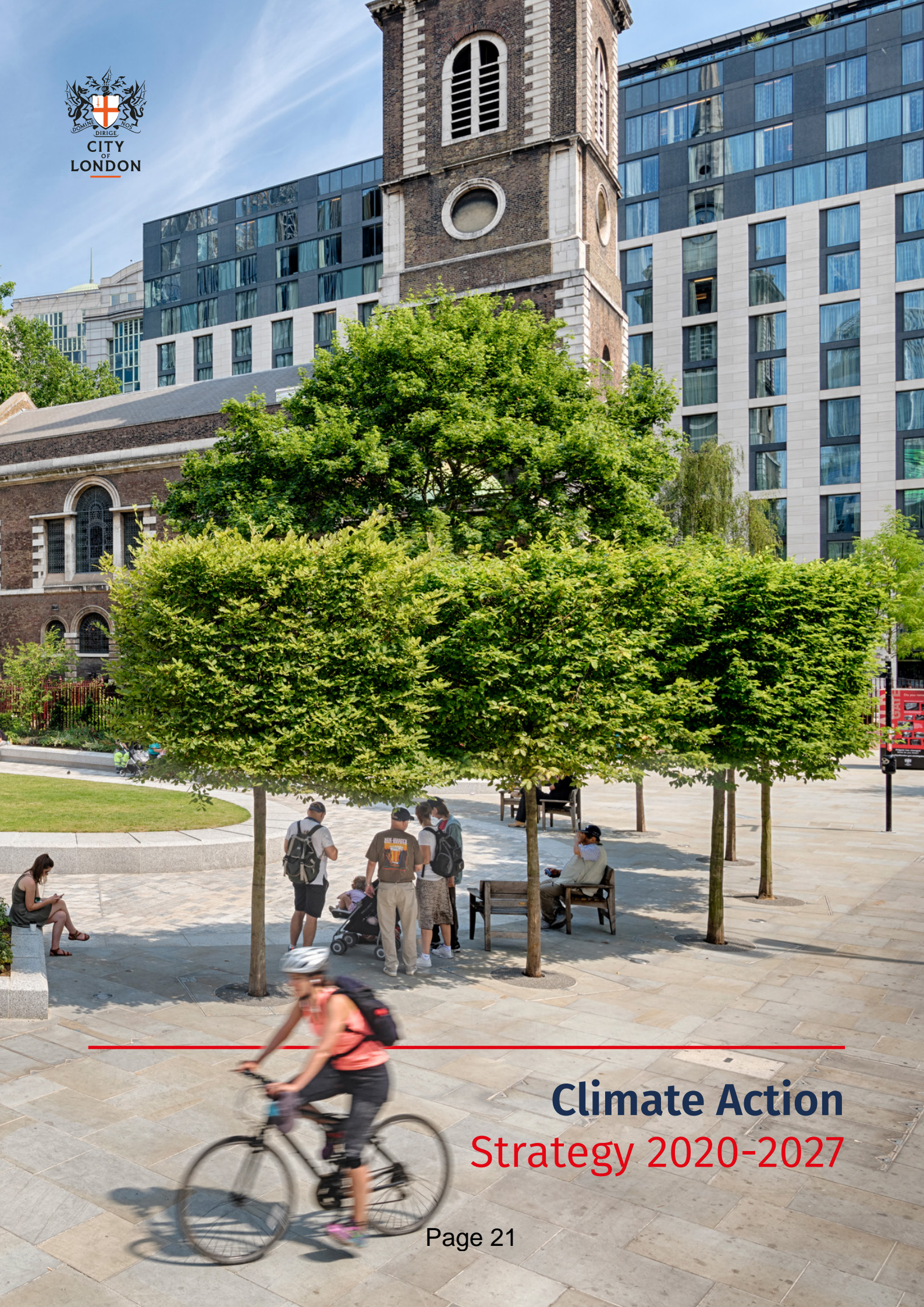
Asset Programme Manager, Department of Community and Children's Services

T: 07785 723501

E: [lochlan.macdonald@cityoflondon.gov.uk](mailto:lochlan.macdonald@cityoflondon.gov.uk)

This page is intentionally left blank





# Climate Action Strategy 2020-2027



# Executive summary

*This document sets out the City of London Corporation’s Climate Action Strategy from 2020 onwards. It explains the importance of climate action to the achievement of the economic, societal and environmental outcomes described in our Corporate Plan, 2018-23. It describes why we need to act now and the our rigorous approach for the first six years.*

Page 22

# Contents

Executive summary	2	Our climate vision, aims and goals	13
The headlines	3	The first six years	14
Who we are	4	Actions to support the achievement of net zero	14
What we can do	4	Actions to build climate resilience	15
Why us? Why now?	5	Actions to champion sustainable growth	15
Our approach	6	Glossary	16
Our evidence base	6		
The breadth of emission sources we include	7		
Turning risks into opportunities	8		
How we complement others’ efforts	9		
Factoring climate action into everything we do	9		
Our baseline	10		
Adapting to climate change	12		



View online at:  
[theglobalcity.uk/resources](https://theglobalcity.uk/resources)

# The headlines



THROUGH THIS STRATEGY THE CITY CORPORATION COMMITS TO ACHIEVING:

- ✓ Net zero by 2027 in the City Corporation’s operations
- ✓ Net zero by 2040 across the City Corporation’s full value chain
- ✓ Net zero by 2040 in the Square Mile
- ✓ Climate resilience in our buildings, public spaces and infrastructure



ACROSS THE SQUARE MILE WE WILL:

- ✓ Work with all stakeholder groups to accelerate the transition to net zero
- ✓ Support SMEs to reach net zero
- ✓ Invest in making the Square Mile more resilient to extreme weather and flooding



AT THE CITY CORPORATION WE WILL DO THIS THROUGH MAJOR INVESTMENT IN:

- ✓ Improving energy efficiency at our investment and corporate properties
- ✓ Protecting our shared natural resources
- ✓ Aligning our investment portfolio with the Paris Agreement
- ✓ Driving net zero through our supply chain
- ✓ Enhancing carbon removal in our open spaces
- ✓ Integrating climate considerations into all our decisions

## Who we are

The City of London Corporation is the governing body of the Square Mile, dedicated to a vibrant and thriving City, supporting a diverse and sustainable London within a globally-successful UK.

The Square Mile is the historic centre of London and is home to the 'City' – the financial and commercial heart of the UK. Our reach extends far beyond the Square Mile's boundaries and across private, public and charitable and community sector responsibilities. We bring an independent and non-party political voice and convening power. This enables us to promote the interests of people and organisations across London and the UK and play a valued role on the world-stage.



**Our reach extends far beyond the Square Mile's boundaries** and across private, public and charitable and community sector responsibilities.



## Why us? Why now?

The City of London Corporation's core purpose is to promote the long-term interests of the City, and thereby support the UK's economy. We have long been champions of sustainability. We were the first local government body to introduce a smokeless zone, in 1954, two years ahead of the Clean Air Act. We developed a climate change adaptation strategy in 2010. Since then, we have supported the growth of the UK's green finance sector.

Scientific evidence tells us that the climate is already changing. We need to act now if we are to limit global warming to 1.5 degrees, thereby avoiding the more extreme effects of climate change. This means we must commit to achieving net zero. And we must ensure that the Square Mile, and our assets outside it, are resilient to more extreme weather events. Acting now is the right and responsible thing to do. It is also key to securing and advancing our global market position as a financial centre. It will also strengthen the appeal of our buildings, investment properties and public spaces as attractive places to work, live, study and visit, both now and in the future.

We do not need to compromise the economy to fix the environment. In reality, climate action will drive growth and jobs. In order to remain relevant and commercially viable, we need to be responsible and resilient.

What used to be 'green finance' is fast becoming the only option for the financial and professional services sector. Integrating climate risks and opportunities into all decision-making is similarly becoming the new normal.

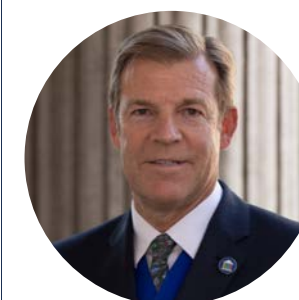
In developing this strategy, we have focused on achieving best practice. Driven by an evidence-based approach, we have included a broad range of emission sources and physical risks. Founded on science-based targets, rather than simply a call to action, our Climate Action Strategy aims to ensure that the Square Mile and City Corporation make a positive contribution. We will help tackle climate change, address the resilience risks it poses, and seize the opportunities presented by the transition to a net zero economy.

This is one of the defining cross-City Corporation policies. It supports delivery of our Corporate Plan, 2018-23. But we cannot do this alone. This strategy sets out how we will work in partnership with our stakeholders to develop the solutions to tackle climate change. We must build back better following the pandemic, making sure no one is left behind. We invite you to work with us as we adapt so that our society can flourish for decades to come.



This means we must commit to achieving net zero and to ensuring that the Square Mile, and our assets outside it, are resilient to more extreme weather events."

**Alderman William Russell,**  
The Rt. Hon. The Lord Mayor of the City of London



**Alderman William Russell**  
The Rt. Hon.  
The Lord Mayor of the City of London



**Catherine McGuinness**  
Chair of the Policy & Resources Committee,  
The City of London Corporation

## What we can do

*In the context of climate action, this means we can support the achievement of net zero, build climate resilience and champion sustainable growth to achieve a truly sustainable City. We will do this by means of the following actions, committed to in our Corporate Plan, 2018-23, against which we drive our performance.*

### 1. SUPPORT THE ACHIEVEMENT OF NET ZERO BY...

- Influencing UK and global policy and regulation and international agreements to protect the environment.
- Providing environmental stewardship and advocacy, in the use of resources, emissions, conservation, greening, biodiversity and access to nature.
- Providing a clean environment and driving down the negative effects of our own activities.

### 2. BUILD CLIMATE RESILIENCE BY...

- Preparing our response to natural and man-made threats.
- Protecting consumers and users of buildings, streets and public spaces.
- Providing thriving and biodiverse green spaces and urban habitats.

### 3. CHAMPION SUSTAINABLE GROWTH BY...

- Providing world-class spaces for businesses and markets to thrive.
- Modelling new ways of delivering inclusive and sustainable growth.
- Supporting organisations in pioneering, preparing for and responding to changes in regulations, markets, products and ways of working.
- Supporting, celebrating and advocating responsible practices and investment.



# Our approach

*We cannot fulfil our ambitions alone. This means we must first demonstrate robust climate action ourselves. We will also share our methodology with, and learn from, others on this journey.*

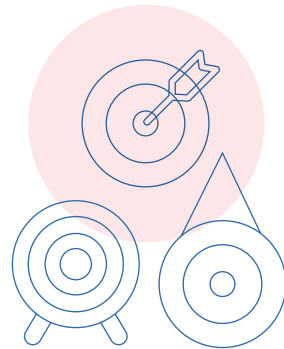
In developing this strategy, we have focused on achieving best practice with our evidence-based approach and the breadth of emission sources and physical risks we address. We are committed to embedding climate action in everything we do and working within the latest standards and advice.

## OUR EVIDENCE BASE

This strategy brings together numerous related City Corporation strategies, policies and campaigns – from our Local Plan and Responsible Business Strategy through to our Clean City Awards. It builds on the momentum, progress and lessons learned so far. See the ‘Our baseline’ section for more information on achievements to date.

To understand how far we had come already and what is left to do, we commissioned expert advice on our current and future resilience levels, carbon emissions and capacity for removing carbon from the atmosphere. We followed the leading global standards and best practice guidelines in developing our approach.

We explored resilience risks with the sectors and organisations that our economic growth is built upon, from utilities and transport providers through to financial and professional services and our cultural sector. Together, we identified what is needed for the Square Mile to continue to compete successfully in the face of climate change. And we asked the public how important climate action should be to us. We asked them what they would like to see happen and what they would be willing to do themselves. Three-quarters of respondents said climate change should be extremely important to us.



We have identified separate targets for the Square Mile and the City Corporation. These have been understood **by emission type to ensure progress in all key areas.**

We have built an evidence base upon which we have designed our action plan. We have the data we need to set and track stretch but achievable targets. We will test and learn as we go. We have identified separate targets for the Square Mile, the City Corporation and types of emissions to ensure we deliver as much as possible, as soon as possible.

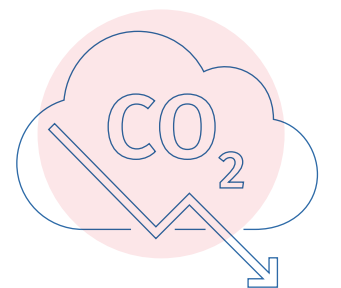
## THE BREADTH OF EMISSION SOURCES WE INCLUDE

Many organisations and authorities focus on driving down the emissions they have most control over – scope 1 and 2. Addressing scope 3 can be daunting as it covers everything an organisation buys, sells, invests in, leases to others and disposes of as well as commuting and business travel. But for organisations and financial centres like ours, scope 3 makes up a large portion of the total carbon footprint. Measuring it can lead to the design of innovative solutions to reduce carbon emissions significantly.

We have included scope 1, 2 and all scope 3 emissions to take ownership, show leadership and help make this standard practice. This can make it appear that we are greater emitters than our peers that have not included Scope 3. We will continue to enhance our understanding of scope 3 data with our partners. We will also advocate for standardisation of reporting to ensure everyone addresses their total carbon footprint effectively.



**1,520**  
ktCO<sub>2</sub>e  
Scope 3



**36**  
ktCO<sub>2</sub>e  
Scope 1 and 2

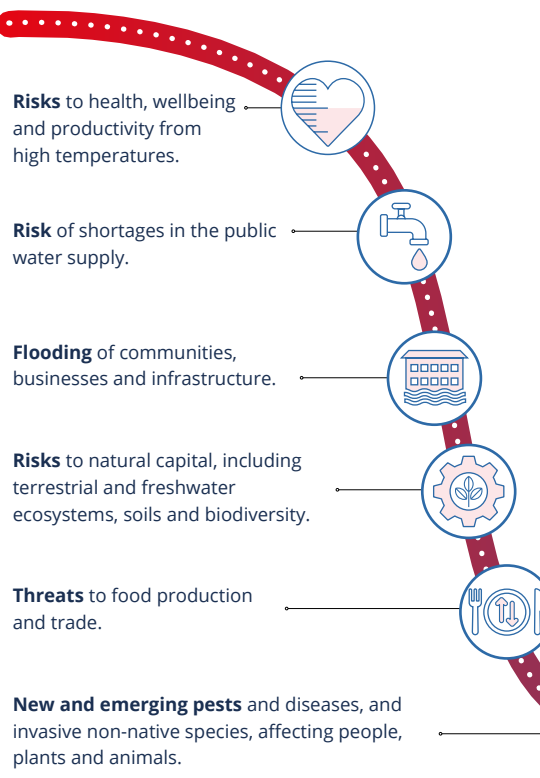
For organisations and financial centres like ours, **scope 3 makes up a large portion of the total carbon footprint** – and measuring it can lead to the design of innovative solutions to reduce carbon emissions significantly.



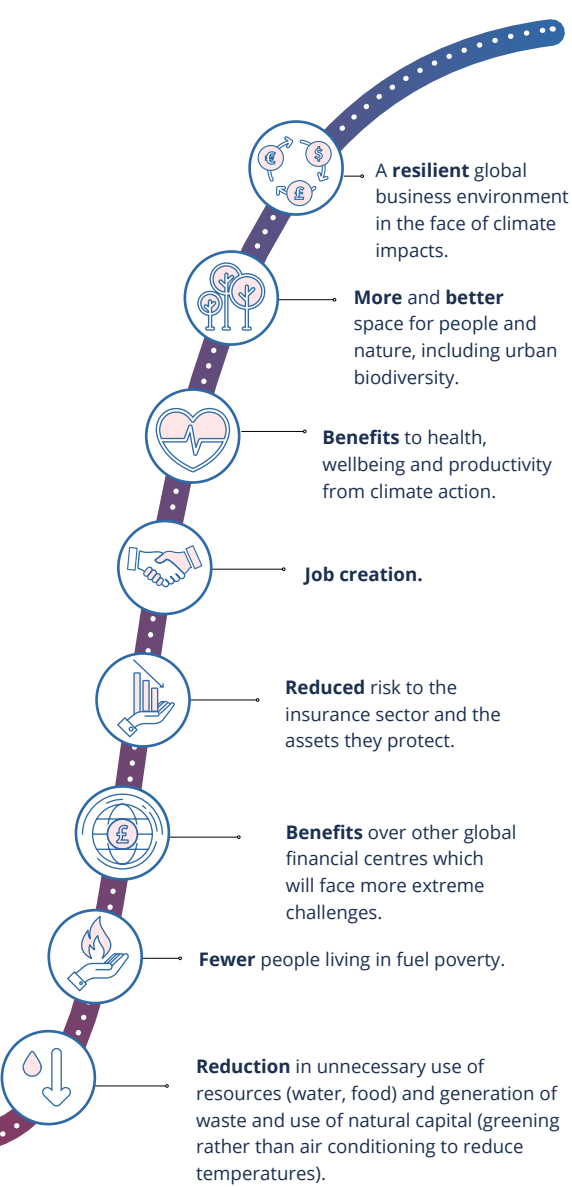
## TURNING RISKS INTO OPPORTUNITIES

Whatever action we and others take, we still need to prepare for hotter drier summers, warmer wetter winters, stronger winds, more frequent extreme weather events and rising sea levels. As we do this, we will go beyond mitigation and seize opportunities to deliver social, economic and environmental outcomes that mean that everyone benefits from the action we take.

### RISKS



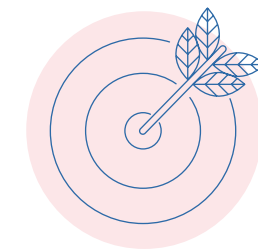
### OPPORTUNITIES



### HOW WE COMPLEMENT OTHERS' EFFORTS

This strategy has been developed to support the delivery of The Paris Agreement on climate change (2015) and our obligations under the UK Climate Change Act (amended 2019). This has enshrined in law both a target of net zero emissions by 2050 and measures for climate adaptation (improved resilience). It is complementary to London-wide and national efforts to reduce emissions and improve the resilience of our communities and urban spaces.

Crucially, this includes the draft London Plan, the Greater London Authority's London City Resilience Strategy 2020, the UK Committee on Climate Change Climate Risk Assessment 2017 and National Adaptation Programme. It also covers the landscape of policies set out by government and advice from the Intergovernmental Panel on Climate Change (IPCC).



The UK Climate Change Act (amended 2019) has enshrined in law both **a target of net zero emissions by 2050 and measures for climate adaptation.**



### FACTORING CLIMATE ACTION INTO EVERYTHING WE DO

Reinforcing and building on the commitments we made in our Corporate Plan (2018-23), and to make sure we are doing all we can to reach our goals, we commit to:

**Working with our stakeholders and partners and listening to their ideas, experiences and views.**

**Ensuring that vulnerable groups who are most likely to be impacted by climate change are prioritised in our decision-making.**

**Identifying measurable targets to track performance against our goals.**

**Keeping our actions and targets in line with changing legislation and recommendations (see next section for more details).**

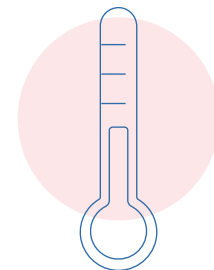
**Accessing the best evidence of our impact possible so we can learn, share our experience and hone our actions as we go.**

**Embedding a climate lens into all our decision-making.**

**Monitoring progress against our targets at regular intervals.**

**Reporting publicly to our committees and via published annual reports.**

**Reviewing and refreshing the action plan every five years.**



We still need to **prepare for hotter drier summers, warmer wetter winters, stronger winds, more frequent extreme weather events and rising sea levels.**



# Our Baseline

## SUPPORTING THE ACHIEVEMENT OF NET ZERO

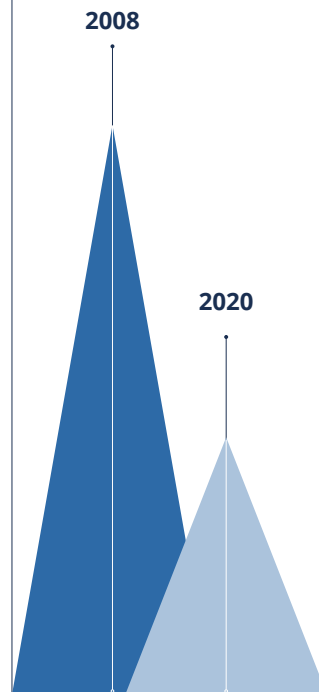
The City Corporation has achieved a 19% reduction in energy consumption within our operational sites since 2008. Since 2018, 100% of the electricity we have purchased has been from renewable sources.

We bought six new electric vehicles and eight new hybrid vehicles in 2018/19. And in 2019/20 installed 20 new electric vehicle charging points as part of the City's "Transition to a Zero Emission Fleet" policy.

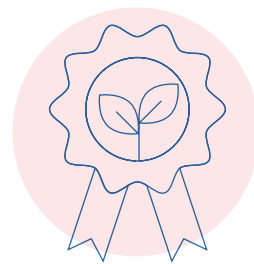


**100%**  
of the electricity we purchase is renewable.

## Square Mile scope 1 and 2 emissions



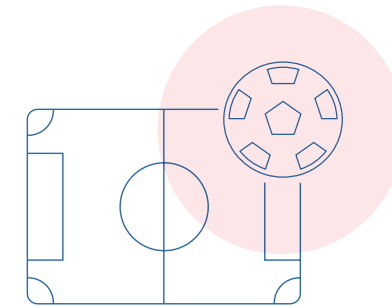
The Square Mile has achieved a 55% reduction in Scope 1 and 2 emissions since 2008 (using data from 2018/19). This has been assisted by our ambitious planning requirements which have led to 75% of new commercial developments with over 20,000m<sup>2</sup> floor space achieving at least a BREEAM 'Excellent' rating since 2014.



**20,000m<sup>2</sup>**  
of floor space achieving at least a BREEAM 'Excellent' rating since 2014.

## HOW WE REMOVE CARBON FROM THE ATMOSPHERE

We look after over 11,000 acres of green spaces across London and its green belt. This equates to approximately 5,500 football pitches. This natural capital not only provides valued space for people and nature but also currently removes 16 ktCO<sub>2</sub> per year. This is equivalent to 40% of the City Corporation's scope 1 and 2 emissions.



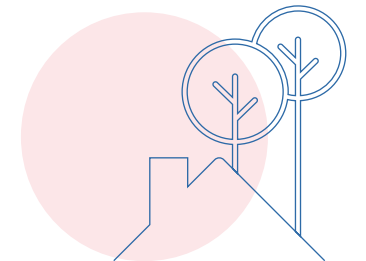
**5,500**

The equivalent of nearly **5,500 football pitches** of green spaces across London and its green belt are managed by The City of London Corporation.

## BUILDING RESILIENCE

The City Corporation has long used our planning role to implement a range of resilience measures in the Square Mile. These include green roofs, urban greening, landscaping, flood resilience and climate resilient new buildings.

As of 2020, the Square Mile has 42,600m<sup>2</sup> of green roof, up from 11,200m<sup>2</sup> in 2005. This is set to increase to 65,800m<sup>2</sup> by 2024. The Square Mile has achieved a 55% reduction in Scope 1 and 2 emissions since 2008 (using data from 2018/19). This has been assisted by our ambitious planning requirements which have led to 75% of new commercial developments with over 20,000m<sup>2</sup> floor space achieving at least a BREEAM 'Excellent' rating since 2014.



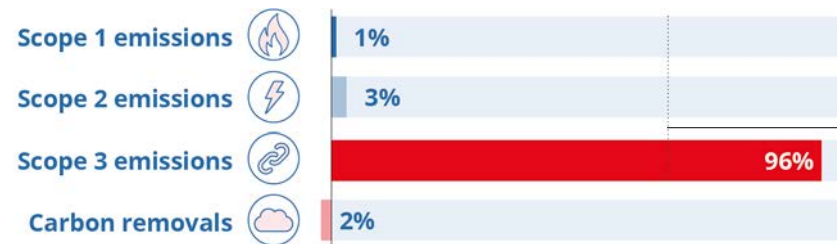
**42,600m<sup>2</sup>**

of green roof in the Square Mile.

## CHAMPIONING SUSTAINABLE GROWTH

The UK is the only global financial centre that is also a leading centre for green finance, topping both conventional and 'green' rankings. UK market players are committed to sustainable principles and the regulatory context is both favourable and innovative. The London Stock Exchange is the 'greenest' main stock exchange across all global financial centres. The UK was the first government to adopt a Green Finance Strategy, which was launched at the Guildhall alongside the Green Finance Institute. The UK is the leading destination for talent that is trained and skilled in sustainability matters. This allows us to lead and support other economies as they transition to net zero.

## City of London Corporation emissions



Following SBTi guidance, we need to reduce or remove

**1,050 ktCO<sub>2</sub>e**

of emissions to achieve net zero. This includes 100% of scopes 1 and 2 and 66% of scope 3.

## Square Mile emissions



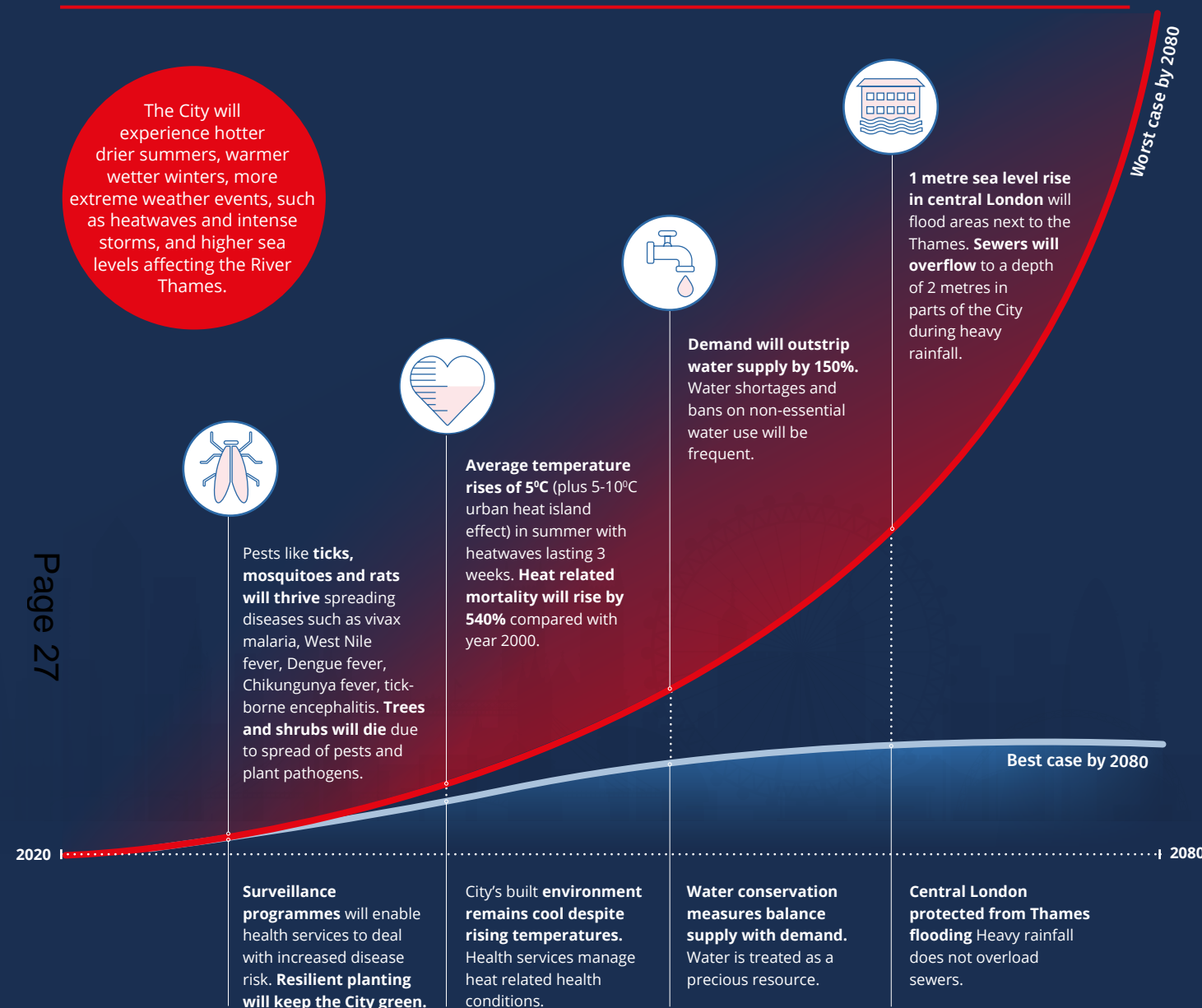
We need to reduce or remove

**1,528 ktCO<sub>2</sub>e**

to achieve net zero.



# Adapting to climate change



## Mitigations

Horizon scanning for pests and diseases.  
Climate resilient landscaping.

Adapting buildings and public realm to cope with higher temperatures.  
Public Health interventions to combat heat stress.

Building designs which prioritise water conservation.  
Water footprint management.

Flood Defence improvements.  
Urban greening to absorb rainwater before it gets to the sewers.

# Our climate vision, aims and goals

## Our Vision

The City of London is **Responsible, Sustainable and Competitive**

## Our aims



To **support** the achievement of **net zero**



To **build** climate resilience



To **champion** sustainable growth

## Our goals

### For the City of London Corporation

City of London Corporation **scope 1 and 2 emissions are net zero by 2027** and **scope 3 emissions are net zero by 2040.**

The City of London Corporation and its assets **are resilient to climate change.**

The City of London Corporation supports UK and overseas organisations to **become climate responsible.**



### For the Square Mile's fabric and function

The Square Mile's scope 1, 2 and 3 emissions (BASIC+ definition) **are net zero by 2040.**

The Square Mile's buildings, public spaces and infrastructure **are resilient to climate change.**



### For society

People in the Square Mile and beyond **benefit from a clean, green and safe environment** and **job creation.**





# The first six years

Our actions and the targets we set build upon our Responsible Business Strategy (2018 - 23) – “Towards a Sustainable Future”. They also reflect ongoing work in supporting innovation and growth in the financial and professional services sector. These actions relate to the first six years of the strategy. The strategy and action plan will then be refreshed for the next phase of implementation to achieve our 2040 goals.



## Actions to support the achievement of net zero

### THE CITY OF LONDON CORPORATION

Transform the energy efficiency of our operational buildings through the adoption of best available technologies

Maximise the use of renewable energy sources across our operational buildings

Introduce new land management practices across our open spaces aiming to maximise their ability to remove carbon, and optimise their biodiversity and resilience value

Align our financial investment portfolio with the goals of the Paris Agreement on climate change

Embed circular economy principles into our capital projects and reduce carbon intensity by using life cycle carbon and cost assessment techniques and design specifications

Accelerate the move to net zero carbon and energy efficient tenanted buildings, working closely with tenants to achieve shared goals

Strengthen our requirements and supplier engagement to drive performance and innovation in delivering sustainable products and solutions

Upskill our workforce on net zero

### THE SQUARE MILE

Work with other organisations to develop a Climate Action Fund to invest in effective zero carbon technologies and accelerate decarbonisation

Develop a Square Mile renewable energy strategy

Use our planning role to influence others to embed carbon analysis and circular economy principles in capital projects

Advocate the importance of green spaces and urban greening as natural carbon sinks, and their contribution to biodiversity and overall wellbeing

Support organisations in the Square Mile to build circular, low-carbon and resilient supply chains

Provide tailored support to SMEs on their decarbonisation journeys

Increase engagement and communications about sustainability with residents, businesses, visitors and other stakeholders



## Actions to build climate resilience

### THE CITY OF LONDON CORPORATION

Build on our existing work to develop an early warning system, and clear resilience strategies for pests and diseases across our ports and markets, driving down the climate related food security risks

Embed resilience measures into our upgrade plans for our owned and operated buildings

Upskill our workforce on climate resilience

Embed a climate resilience lens into all our decision-making

### THE SQUARE MILE

Make the Square Mile public realm more climate change ready through adding in more green spaces, urban greening, flood resistant road surfaces, adaptable planting regimes and heat resistant materials

Reduce the risk of flooding through developing sustainable rain and surface water management policies, resulting in a connected system of water recycling, sustainable urban draining and rainwater management measures

Strengthen our planning guidance on climate resilience measures for new developments

Work with our partners to create a more climate resilient and diversified energy network across the Square Mile

Develop a strong, data-led approach to deepen our understanding of climate related risks and mitigations across the Square Mile

Ensure that we continue to protect the residents, critical assets, infrastructure and heritage of the Square Mile



## Actions to champion sustainable growth

### THE CITY OF LONDON CORPORATION

Mobilise capital into sustainable finance

Secure the UK's place as a leader for investment in sustainable finance products

Help faster development and adoption of sustainable finance products and services

Share best practice on standards, tools, platforms and expertise to facilitate green and sustainable investment and growth

Encourage global movement towards disclosure and production of credible transition plans as the norm

Foster an ambition to achieve net zero emissions by 2050 or sooner for UK-based financial and professional services firms

Join other investors working through development and implementation of net zero transition action plans

Support financial institutions committing to net zero in the 2040s at the latest, covering all emissions, including scope 3 and where data allows reliable measurement

Support charities and SMEs to consider, prepare for and lead the response to climate change

Promote responsible procurement and investment practices.

Enhance the UK/London's capacity to finance sustainable investment opportunities globally, including emerging markets

Work with the financial services sector and UK Government to promote and scale sustainable finance products and services that countries and corporates need to help them transition to net zero

Influence and support the delivery of technical solutions to increase comparability of data and ease of reporting

Share learning and best practice about the challenges and opportunities of our net zero journey

Address existing inequalities and ensure no one is left behind

Prepare people for skills needed in a net zero economy

Facilitate collaborative action on air pollution in London

Reduce pollution and increase the resilience of the Square Mile

Reduce air pollution through implementing our ambitious air quality and transport strategies

Embrace circular economy principles across our strategies and work

Work with our creative and educational sector partners to deliver sustainable initiatives

Enhance greening and biodiversity across our public realm and open spaces

# Glossary

**BASIC+ definition** emissions include those from within the Square Mile from stationary energy, transportation and waste, as well as transboundary transportation, industrial processes and product use and the agriculture, forestry and land use sectors. It does not include emissions from investments.

**Carbon removal** is the process by which a carbon sink, such as forestry, reduces the amount of greenhouse gases in the atmosphere.

**Circular economy** means keeping resources in use for as long as possible, extracting the maximum value from them whilst in use, then recovering and regenerating products and materials at the end of each service life.

**Climate resilience** is the ability to anticipate, prepare for and respond to hazardous events, trends or disturbances related to climate (Centre for Climate and Energy Solutions).

**Ecosystem services** are benefits to humans from the natural environment and from healthy ecosystems.

**GHGs** means greenhouse gases - the emissions responsible for global warming. These include methane, nitrous oxide and fluorinated gases amongst others.

**ktCO<sub>2</sub>** is the unit of measurement for GHG emissions. It standardises greenhouse gases into units of kilo-tonnes of carbon dioxide equivalent (ktCO<sub>2</sub>e).

**A low-carbon economy** is simply an economy that causes low levels of GHG emissions compared with today's carbon-intensive economy. 'Carbon' refers to carbon dioxide, the GHG which contributes the most to climate change. The low-carbon economy can be seen as a step in the process towards a zero-carbon economy. (Science Direct)

**Natural capital** refers to the stock of natural resources, which includes geology, soils, air, water and all living organisms.

**Net zero emissions** are achieved when anthropogenic emissions of greenhouse gases to the atmosphere are balanced by anthropogenic removals over a specified period (Science Based Targets initiative (SBTi) and CDP, Towards a science-based approach to climate neutrality in the corporate sector, September 2019). N.B. Further guidance on the definition of net zero and its guiding principles are due later in 2020 from the SBTi.

**Science-based / Paris-aligned** (Science-Based Target Setting Manual, April 2020) GHG emissions reduction targets are considered "science-based" if they are in line with what the latest climate science says is necessary to meet the goals of the Paris Agreement (2015) - to limit global warming to well-below 2°C above pre-industrial levels and pursue efforts to limit warming to 1.5°C.

**SMEs** refers to small and medium-sized enterprises.

**Scopes 1, 2 and 3 for an organisation:** (Defra Environmental Reporting Guidelines and the Greenhouse Gas Protocol, A Corporate Accounting and Reporting Standard, revised edition)

**Scope 1** (direct) means emissions from activities owned or controlled by your organisation that release emissions into the atmosphere. They are direct emissions. Examples of scope 1 emissions include emissions from combustion in owned or controlled boilers, furnaces, vehicles, emissions from chemical production in owned or controlled process equipment.

**Scope 2** (energy indirect) means emissions released into the atmosphere associated with your consumption of purchased electricity, heat, steam and cooling. These are indirect emissions that are a consequence of your organisation's activities, but which occur at sources you do not own or control

**Scope 3** (other indirect) means emissions that are a consequence of your actions, which occur at sources which you do not own or control and which are not classed as scope 2 emissions. Examples of scope 3 emissions are business travel by means not owned or controlled by your organisation, waste disposal which is not owned or controlled, or purchased materials.

**Scopes 1, 2 and 3 for a city:** (GHG Protocol, Global Protocol for Community-Scale Greenhouse Gas Emission Inventories)

**Scope 1** means GHG emissions from sources located within the city boundary

**Scope 2** means GHG emissions occurring as a consequence of the use of grid-supplied electricity, heat, steam and/or cooling within the city boundary

**Scope 3** means all other GHG emissions that occur outside the city boundary as a result of activities taking place within the city boundary.

## About The City of London Corporation:

The City of London Corporation is the governing body of the Square Mile dedicated to a vibrant and thriving City, supporting a diverse and sustainable London within a globally successful UK.

We aim to:

- Contribute to a flourishing society
- Support a thriving economy
- Shape outstanding environments.

By strengthening the connections, capacity and character of the City, London and the UK for the benefit of people who live, work and visit here.

<b>Committees:</b> Chief Officer [ <i>for decision</i> ] Community and Children's Services Committee [ <i>for information</i> ] Digital Sub [ <i>for information</i> ]	<b>Dates:</b> 26 January 2022 11 February 2022 25 April 2022
<b>Subject</b> Social Care Case Management System. <b>Unique Project Identifier:</b> N/A	<b>Gateway 3/4/5:</b> <b>Options</b> <b>Appraisal and</b> <b>Authority to</b> <b>Start Work</b> <b>(Regular)</b>
<b>Report of:</b> Director of Community & Children's Services <b>Report Author:</b> Sarah Greenwood	<b>For Information</b>
<h1>PUBLIC</h1>	

**Explanatory Note for Members:** The Corporate Projects Board agreed that the project should proceed under delegation until such a time that it was determined whether the project would reach the thresholds of the gateway process. Proceeding under delegation means that all usual Gateway reports are submitted to the Director who may then choose to share the reports with Committee for information. The recommendations of this Gateway report conclude the project is below Gateway thresholds and the report is shared with Members for information.

<b>1. Status update</b>	<b>Project Description:</b> IT system designed to manage the caseload for children and adults social care users with interfaces with the NHS <b>RAG Status:</b> Green (Green at last report to Committee) <b>Risk Status:</b> Low (Medium at last report to committee) <b>Total Estimated Cost of Project (excluding risk):</b> £219,264 <b>Change in Total Estimated Cost of Project (excluding risk):</b> Decrease of £251,000 since last report to Committee. The Mosaic Advisory Board agreed to remove the Resources Allocation element from the project (reduction of approx. £100k revenue funding and £151k capital costs will no longer be incurred as the supplier is the current provider of the service). <b>Funding Source:</b>
-------------------------	---

	<p><b>Spend to Date:</b> £1,500 (local risk budget)</p> <p><b>Costed Risk Provision Utilised:</b> £0 (of which £0 has been drawn down since the last report to Committee);</p> <p><b>Slippage:</b> none</p>																
2. Next steps and requested decisions	<p><b>Next Gateway:</b> Gateway 6: Outcome Report</p> <p><b>Next Steps:</b></p> <p>Development of contractual documentation</p> <p><b>Requested Decisions:</b></p> <p>1. Note the total estimated total cost of the project at £219,264 (excluding risk) for all four years at a cost of £54,316 per annum (revenue only);</p> <p>2. That Option <b>1c (Direct Award to Servelec)</b> is approved</p>																
3. Budget	<p><i>For recommended option 1c:</i></p> <table><tr><th>Item</th><th>Reason</th><th>Funds/ Source of Funding</th><th>Cost (£)</th></tr><tr><td>Revenue Costs</td><td>Contractual Costs including annual licences, hosting, maintenance and NHS interoperability functionality</td><td></td><td>£217,264</td></tr><tr><td>Staff Costs</td><td>Specification development, options appraisal and development of contractual documentation</td><td>Existing Local risk funding</td><td>£ 2,000</td></tr><tr><td>Total</td><td></td><td></td><td>£219,264</td></tr></table> <p><b>No Costed Risk Provision is requested for this Gateway:</b></p>	Item	Reason	Funds/ Source of Funding	Cost (£)	Revenue Costs	Contractual Costs including annual licences, hosting, maintenance and NHS interoperability functionality		£217,264	Staff Costs	Specification development, options appraisal and development of contractual documentation	Existing Local risk funding	£ 2,000	Total			£219,264
Item	Reason	Funds/ Source of Funding	Cost (£)														
Revenue Costs	Contractual Costs including annual licences, hosting, maintenance and NHS interoperability functionality		£217,264														
Staff Costs	Specification development, options appraisal and development of contractual documentation	Existing Local risk funding	£ 2,000														
Total			£219,264														
4. Overview of project options	<p>1. Outsource to a third party</p> <p>a. open market tender,</p> <p>b. mini competition with a framework and</p> <p>c. direct award through a framework</p> <p>2. In source via in house delivery</p>																



	<p>3. Join with another Local Authority (either as a procurement or join with another Local Authority's system)</p> <p>4. Not have a system. This option was ruled out at Gateway 2 and has therefore not been included within the options appraisal matrix.</p>
<b>5. Recommended option</b>	Option 1c: Outsource to a third party and direct award through a framework (procurement route recommended by IT Category Board).
<b>6. Risk</b>	<p>One new risk has been identified and realised since Gateway 2: R6 on the risk register – financial stability of potential providers.</p> <p>A financial appraisal was carried out on the existing supplier Servelec in September 2021 following a Dun and Bradstreet report identifying significant financial risk. Following the acquisition of Servelec by the Access Group, a second financial assessment was completed demonstrating a significant reduction in risk as a result of the acquisition. As a provider of a number of departmental systems, Servelec has been included within the DCCS business continuity plan as a strategic provider and regular business continuity testing has been included within account meetings. City procurement have confirmed that the actions taken are sufficient to enable Servelec to continue as a supplier to the City.</p> <p>Further information available in the Risk Register (Appendix 2) and Options Appraisal.</p>
<b>7. Procurement approach</b>	<p>A procurement options report (see appendix 3) was discussed at the December IT Category Board.</p> <p>IT Category Board agreed with the recommended approach to outsource to a third party. After consideration of the procurement options, the Board agreed to direct award to Servelec, the current supplier, using the GCloud framework. Two suppliers met the search terms criteria agreed by the IT Architect and the steering group. Both could meet the specification requirements and following clarification questions regarding pricing, Servelec gave the best value of money. Further details are included within the attached procurement options report at appendix 3.</p>
<b>8. Design summary</b>	The social care case management system enables service users to have joined up services because all professionals can access care records (including social care workers, mental health professions, virtual school head and out of hours social work teams), users can input into their care, and the City can use the information and statistics to plan services. The specification has been designed in consultation with the Mosaic Advisory Board taking into account statutory

	requirements and identified good practice	
<b>9. Delivery team</b>	Mosaic Advisory Board (overseeing the delivery of the current contracted solution) chaired by Chris Pelham the Assistant Director for People's Services (the Senior Responsible Officer) and with additional representation from IT, Comptroller and City Solicitor and City Procurement. The project will be managed by the Commissioning Manager Sarah Greenwood.	
<b>10. Success criteria</b>	1) The system meets statutory requirements and identified good practice	
	2) Safe and professional experience for service users and carers with co-ordination of all records in relation to a service user or carer and their family	
	3) Accurate reporting of performance and budget trends	
<b>11. Progress reporting</b>	Progress reports will be reported to the Mosaic Advisory Board.	

### **Appendices**

<b>Appendix 1</b>	Project Coversheet
<b>Appendix 2</b>	Risk Register (for recommended option)
<b>Appendix 3</b>	PT3 Procurement Form

### **Contact**

<b>Report Author</b>	Sarah Greenwood
<b>Email Address</b>	sarah.greenwood@cityoflondon.gov.uk
<b>Telephone Number</b>	020 7332 3594

## Options Appraisal Matrix

<b>Option Summary</b>	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>
<b>Brief description of option</b>	Outsource to a third party	In source via in house delivery	Join with another Local Authority
<b>1. Scope and exclusions</b>	Includes a) open market tender, b) mini competition and c) direct award through a framework (recommended)	Resourcing including staffing, design and testing of new system and ongoing hosting, support and maintenance	Joining to procure or share a bespoke in house Local Authority's system
<b>Project Planning</b>			
<b>2. Programme and key dates</b>	Contract awarded April 2021  Mobilisation May 2022 – September 2022  Overall project: Completion and go live by 31 October 2022	This option would not be complete by the expiry date of the current contract	No neighbouring Local Authority is in a position to either jointly procure or invite the city to use its bespoke system at this time.
<b>3. Risk implications</b>	Overall project option risk: Low  Further information	<ul style="list-style-type: none"> <li>Departmental budgets do not account for the cost of an internal service</li> </ul>	<ul style="list-style-type: none"> <li>Time and capital cost implications to change providers</li> </ul>

<b>Option Summary</b>	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>
	available within the Risk Register (Appendix 2).	<ul style="list-style-type: none"> <li>City of London is not a specialist case management provide – potential risks to quality outcomes for service users and clients</li> </ul>	
<b>4. Stakeholders and consultees</b>	Mosaic Advisory Board (overseeing the delivery of the current contracted solution) chaired by Chris Pelham the Assistant Director for People's Services (the Senior Responsible Officer) and with additional representation from IT, Comptroller and City Solicitor and City Procurement. The project will be managed by the Commissioning Manager Sarah Greenwood.		
<b>5. Benefits of option</b>	<ul style="list-style-type: none"> <li>Provider expertise across the market</li> <li>Competitively source and leverage appropriate expertise from the market</li> <li>Potential for product and service development to meet good practice</li> <li>Direct Award procedure on the basis of being able to identify the most economically advantageous provider</li> </ul>	No contract required	<ul style="list-style-type: none"> <li>City shares many services with other neighbouring Local Authorities.</li> <li>Reduced procurement costs</li> <li>Potential reduced costs of service</li> </ul>

<b>Option Summary</b>	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>
	without conducting a further competition. <ul style="list-style-type: none"> <li>• Continuity of supplier (no need for a mobilisation period)</li> <li>• Supplier current system knowledge and set up</li> </ul>		
<b>6. Disbenefits of option</b>	<ul style="list-style-type: none"> <li>• Potential time and cost implications for a competitive procurement</li> </ul>	<ul style="list-style-type: none"> <li>• The Corporation does not have the required expertise to deliver the service and would need to recruit</li> <li>• Increase in staff costs (for example, via recruitment; salaries; on-costs; pension liabilities; &amp; training etc.)</li> <li>• Does not comply with the City's policy of buy not build</li> </ul>	<ul style="list-style-type: none"> <li>• Neighbouring Local Authorities (e.g. Hackney) would be preferable given potential for other shared services</li> <li>• Preferred Local Authorities would be those with whom the City shares service users</li> <li>• Hackney are not currently in a position to consider a shared service following the 2020 cyber attack</li> </ul>
<b>Resource Implications</b>			

<b>Option Summary</b>	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>
<b>7. Total estimated cost</b>	Direct award costs of £54,316 pa (total of £217,264.79 for a four year contract)	N/A	Cost has not been calculated at this stage
<b>8. Funding strategy</b>	Local risk budget for direct award option. Capital bid submitted for potential capital funding if another supplier was awarded the contract.	N/A	Potential capital costs requiring a capital funding bid and local risk budget for revenue costs
<b>9. Investment appraisal</b>	Options considered at the IT Category Board including value for money		
<b>10. Estimated capital value/return</b>	N/A	N/A	N/A
<b>11. Ongoing revenue implications</b>	The direct award costs an additional £10,500 over 4 years (£2,600 pa) compared to current budget	Not quantified as discounted above	Not quantified as option discounted above
<b>12. Affordability</b>	The additional annual cost can be managed within the local risk budget	N/A as option discounted	N/A as option discounted
<b>13. Legal implications</b>	Comptroller has been consulted on G Cloud framework terms	N/A as option discounted	N/A as option discounted
<b>14. Corporate property</b>	None		

<b>Option Summary</b>	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>
<b>implications</b>			
<b>15. Traffic implications</b>	None		
<b>16. Sustainability and energy implications</b>	None		
<b>17. IS implications</b>	IT Architect and business Partner have been consulted on the specification requirements and search terms for a framework.  IT category Board have received the options and have agreed this is the preferred option.  Option meets the IS policy of a hosted cloud based system, a full support agreement and SLA	Does not meet the IS strategy requirements	IT Architect and business Partner have been consulted on the specification requirements.  IT category Board have received the options and have agreed this is not the preferred option.
<b>18. Equality Impact Assessment</b>	N/A	N/A	N/A
<b>19. Data Protection Impact</b>	New DPIA not undertaken – existing DPIA will be updated		

<i>Option Summary</i>	<i>Option 1</i>	<i>Option 2</i>	<i>Option 3</i>
<b>Assessment</b>			
<b>20. Recommendation</b>	Recommended	Not recommended	Not recommended



# Project Coversheet

## [1] Ownership & Status

**UPI:** N/A

**Core Project Name:** Social Care Case Management System

**Programme Affiliation** (if applicable): N/A

**Project Manager:** Sarah Greenwood, Commissioning Manager

**Definition of need:** The contract for the current IT system is due to expire in October 2022

**Key measures of success:**

- 1) The system meets statutory requirements and identified good practice
- 2) Safe and professional experience for service users and carers with co-ordination of records in relation to a service user or carer and their family
- 3) Accurate reporting of performance and budget trends

**Expected timeframe for the project delivery:** October 2022

**Key Milestones:**

- Contract awarded April 2021
- Mobilisation May 2022 – September 2022
- Overall project: Completion and go live by 31 October 2022

**Are we on track for completing the project against the expected timeframe for project delivery?** Yes

**Has this project generated public or media impact and response which the City of London has needed to manage or is managing?**

A number of potential providers have asked for information on the potential tender. They have been advised that contract opportunities would be advertised on the City's Capital E-Sourcing portal

## [2] Finance and Costed Risk

**Headline Financial, Scope and Design Changes:**

**'Project Briefing' G1 report (as approved by Chief Officer 03/02/21):**

- Total Estimated Cost (excluding risk): £143,600 one off/capital + £312,500 revenue
- Costed Risk Against the Project: nil
- Estimated Programme Dates:
  - i. contract start – March 2022
  - ii. month contract negotiation/data migration and mobilisation period April – September 2022
  - iii. existing contract ends September 2022

*Scope/Design Change and Impact:*

**'Project Proposal' G2 report (as approved by CPB 31/03/21):**

- Total Estimated Cost (excluding risk): £151.1k one-off/capital + £337k revenue.
- Resources to reach next Gateway (excluding risk) £1,500 staff costs

- Spend to date:
- Costed Risk Against the Project: nil
- CRP Requested: nil
- CRP Drawn Down: nil
- Estimated Programme Dates:

*Scope/Design Change and Impact:* Additional costs attributable to staff costs required and inclusion of NHS interoperability requirement. The Corporate Projects Board agreed that the project should proceed under delegation until such a time that it was determined whether the project would reach the thresholds of the gateway process

**‘Options Appraisal and Design’ G3-4 report (as approved by PSC xx/yy/zz):**

- Total Estimated Cost (excluding risk):
- Resources to reach next Gateway (excluding risk)
- Spend to date:
- Costed Risk Against the Project:
- CRP Requested:
- CRP Drawn Down:
- Estimated Programme Dates:

*Scope/Design Change and Impact:*

**‘Authority to start Work’ G5 report (as approved by PSC xx/yy/zz):**

- Total Estimated Cost (excluding risk):
- Resources to reach next Gateway (excluding risk)
- Spend to date:
- Costed Risk Against the Project:
- CRP Requested:
- CRP Drawn Down:
- Estimated Programme Dates:

*Scope/Design Change and Impact:*

**Total anticipated on-going commitment post-delivery [£]:**£217,264 revenue across 4 years

**Programme Affiliation [£]:**N/A

City of London: Projects Procedure Corporate Risks Register

Project Name:			Social Care Case Management System				PM's overall risk rating:		Medium		CRP requested this gateway				Average unmitigated risk		0.0		Open Risks		0		
Unique project identifier:			TBA				Total estimated cost (exc risk):		£ -		Total CRP used to date		£ -		Average mitigated risk score		0.0		Closed Risks		6		
General risk classification																							
Risk ID	Gateway	Category	Description of the Risk	Risk Impact Description	Likelihood Classification pre-mitigation	Impact Classification pre-mitigation	Risk score	Costed Impact pre-mitigation (£)	Costed Risk Provision requested Y/N	Confidence in the estimation	Mitigating actions	Mitigation cost (£)	Likelihood Classification post-mitigation	Impact Classification post-mitigation	Costed Impact post-mitigation (£)	Post-Mitigation risk score	CRP used to date	Use of CRP	Date raised	Named Departmental Risk Manager/Coordinator	Risk owner (Named Officer or External Party)	Date Closed OR Realised & moved to Issues	Comment(s)
R1	2	(4) Safeguarding	The system does not support the social work best practice, City of London workflows and is not compliant with statutory requirements or regulatory compliance (for Ofsted and Care Quality Commission) nor IT requirements	The City of London could not fulfil its statutory obligations leading to safeguarding risks for children and adults within the City of London and those receiving social care support from the City of London. This would also be a reputation risk for the City as regulatory bodies (e.g. Ofsted) would downgrade the City of London's rating	Unlikely	Extreme	16	£0.00	N	A – Very Confident	Steering group consisting of representatives from DCCS' Social work teams, IT, Comptroller and City Solicitor who are involved in developing the specification. Specifications and good practice from other boroughs will be used to inform the specification and will include flexibility to meet future identified requirements. Use of framework ensures the system can meet requirements	£0.00	Rare	Major	£0.00	4	£0.00		12/03/2021	Sarah Greenwood		05/01/2022	
R2	2	(4) Contractual/Partnership	Limited/no market for the project and no bids are received for the invitation to tender.	no system available for use at the end of the current contract, leading to a reputation and safeguarding risks (see R1 above)	Unlikely	Extreme	16	£0.00	N	A – Very Confident	Pre tender market engagement to scope the likely interest in the tender. Current provider is one of the market leaders in a small national market. Explore use of framework to ensure a suitable pool of potential bidders. Use of framework has confirmed two potential providers with costings	£0.00	Rare	Extreme	£0.00	8	£0.00		12/03/2021	Sarah Greenwood		05/01/2022	
R3	2	(8) Technology	Data not migrated to potential new system in time or accurately	Data within the system is not accurate, which could lead to a safeguarding risk (see R1) or migration of data is not completed before the end of the current contract, leading to a potential gap in service. The mobilisation period would not be required should the current provider be the winning bidder for the new contract.	Unlikely	Serious	4	£0.00		B – Fairly Confident	4 months mobilisation factored into project timetable and project management costs factored into budget estimation. A dedicated systems support manager is employed by DCCS who would support the data migration process. Following the procurement report, the current provider is the recommended supplier.	£0.00	Rare	Serious	£0.00	2	£0.00		12/03/2021	Sarah Greenwood		05/01/2022	
R4	2	(8) Technology	system is not sufficiently flexible to meet future needs (e.g. statutory, City of London) within the lifetime of the contract	the system becomes obsolete and does not allow for mobile working or future changes to statutory or recognised good practice social work	Likely	Major	16	£0.00	N	B – Fairly Confident	requirement for provider/system to meet statutory requirements during the lifetime of the contract is built into the specification through IT involvement. Contract will be performance managed to ensure that roadmap and upgrades include statutory changes and that user groups are a feature of the contract	£0.00	Rare	Serious	£0.00	2	£0.00		12/03/2021	Sarah Greenwood		05/01/2022	
R5	2	(2) Financial	insufficient funding a) The contract is won by a new supplier requiring capital funding at the start of the contract for system purchases, system setup and data cleansing/mobilisation or b) insufficient revenue funding due to increase in contract costs	potential for the contract to not be awarded if sufficient funds cannot be allocated. This could lead to safeguarding and reputational concerns (see R1). Capital funding would only be required should the current provider not be the new provider	Unlikely	Major	8	£0.00	N	A – Very Confident	risk raised to DCCS DLT for information and included within Gateway risk register. A capital bid will be submitted prior to the tender process. No commitment to enter into a contract will be made until the outcome of the capital bids. Following the procurement process, the budget is confirmed and available.	£0.00	Rare	Major	£0.00	4	£0.00		12/03/2021	Chris Peiham		05/01/2022	
R6	3	(4) Contractual/Partnership	Supplier does not meet the City's financial requirements for the contract	contractor does not have sufficient financial capability to assure city of their capability to deliver on the contract	Possible	Major	12	£0.00	N	A – Very Confident	Comptrollers and Chamberlain assessment of risk and assurances can be requested	£0.00	Possible	Serious	£0.00	6	£0.00		05/10/2021	Chris Peiham		05/10/2021	
R7								£0.00				£0.00				£0.00	£0.00						
R8								£0.00				£0.00				£0.00	£0.00						
R9								£0.00				£0.00				£0.00	£0.00						
R10								£0.00				£0.00				£0.00	£0.00						
R11								£0.00				£0.00				£0.00	£0.00						
R12								£0.00				£0.00				£0.00	£0.00						
R13								£0.00				£0.00				£0.00	£0.00						
R14								£0.00				£0.00				£0.00	£0.00						
R15								£0.00				£0.00				£0.00	£0.00						
R16								£0.00				£0.00				£0.00	£0.00						
R17								£0.00				£0.00				£0.00	£0.00						
R18								£0.00				£0.00				£0.00	£0.00						
R19								£0.00				£0.00				£0.00	£0.00						
R20								£0.00				£0.00				£0.00	£0.00						
R21								£0.00				£0.00				£0.00	£0.00						
R22								£0.00				£0.00				£0.00	£0.00						
R23								£0.00				£0.00				£0.00	£0.00						
R24								£0.00				£0.00				£0.00	£0.00						

[illegible]

**PT3/PT8 - Procurement Options and Award Report: Services and Goods**

*This document is used to identify the Procurement Strategy and Purchasing Routes associated with a project and only considers the option recommended on the associated Gateway report.*

City Procurement Project Reference:	CM to add once the way forward is confirmed		
Project / Contract Title:	Social Care Case Management System		
Category Board:	IT Category Board		
Category Board date:	6 <sup>th</sup> October 2021		
Project Lead & Contract Manager:	Sarah Greenwood	Lead Department:	Community and Children’s Services
Category Manager:	Chris Mulhall	Other Contact:	Matt Cox (IT Business Partner), David Clelland (IT – Lead Architect)
Total Contract Value (excluding VAT and inc. extension options):	24 months , with the option to extend for 2 x 12 month terms based on GCloud 12 terms. Total of £217,264.79	Contract Duration (inc. extension options):	48 months
Revenue Budget Value:	current revenue budget allocation is £70,000	Approved:	Existing local risk budget
Capital Budget Value:	n/a	Approved:	
Capital Project/project vision reference (if applicable):	n/a – no yet applicable – gateway proceeding under delegation		
Agreed Savings Baseline (£):	current annual contract costs for the case management system are : £27,500 maintenance and support costs, £15,000 hosting £ 9,180 MIV licence <b>Total of £206,720 over 4 years</b>		
<b>Gateway Approval Process</b> - <b>Is this project subject to the Gateway process?</b> Yes (although currently proceeding under delegation until/unless capital funding required)  - <b>If so, what was the last Gateway report, and date of approval, and what is the next Gateway report and scheduled date for recommendation for approval?</b> Gateway 2 approved by Corporate Projects Board 31 March 2021 Gateway 3/4 report will drafted for Director Approval			
<b>Opportunity for Inter-City Collaboration (is there another site/department that could benefit from this project)?</b>			
This is a project within DCCS only with associated external partners (e.g. NHS) who are already linked through the Conexus API.			

**Procurement Strategy Recommendation**

<b>City Procurement team recommended option</b>
<b>Option 1: Outsource to an external provider</b>

**Route to Market Recommendation**

<b>City Procurement team recommended option</b>
<b>Option 2: Direct award via G-Cloud 12 Framework</b>

**Specification and Evaluation Overview**

<b>Summary of the main requirements:</b> The specification will aim to achieve the following: <ul style="list-style-type: none"> <li>provide for an off the shelf electronic case management and recording system (but customisable according to City's workflows)</li> <li>meet current and future legislative and local requirements</li> </ul>
--

<ul style="list-style-type: none"> <li>• be secure and hold data in compliance with all best practice and legislation</li> <li>• allow for co-ordination between teams</li> <li>• be available 24/7 with ability for flexible working and mobile working</li> <li>• provide adequate training and support and maintenance</li> <li>• be a fully hosted system</li> <li>• provide flexible reporting including all required statutory reports</li> <li>• be able to meet the requirements of the health and social care integration agenda</li> <li>• meet all IS requirements</li> </ul>	
<b>Technical and Pricing evaluation ratio</b> <b>0% (Quality) / 100% (Price)</b>	
<b>Overview of the key Evaluation areas (if known at this stage):</b>  N/A – this would be revised should a tender be agreed as the way forward	
<b>Does contract delivery involve a higher than usual level of Health &amp; Safety, Insurance, or Business risk to be allowed in the procurement strategy?</b> Risks identified as part of the Gateway 2 are: Safeguarding: the system not meeting statutory or good practice requirements Contractual: the market is too small, or there are no bids for the contract Technological: the system is not sufficiently flexible to meet future statutory or City of London requirements, the system is not mobilised adequately in time for the contract to be required Financial: insufficient capital funding to enable the contract to proceed (capital funding is only required if the current provider is not the provider of the new contract).	
<b>Is there a requirement for a Performance Bond on this Project and if so, on what grounds?</b> No	
<b>Is the contract likely to require financial uplifts? (Please describe what method will be used to calculate the uplift and whether this will be capped)</b> No	
<b>Will the procurement process require a financial assessment? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></b> award from G Cloud covers this requirement <b>If yes, please indicate recommended assessment: Finance Check <input type="checkbox"/> Financial Appraisal <input type="checkbox"/></b> <b>Please indicate reasons for this recommendation</b> (please include in this section information on project being rated low/not low): Servelec are a current supplier to the City of London Corporation and a number of other local authorities. Award from G Cloud covers this financial requirement	
<b>Are there any accompanying documents with this report? e.g. PTO/outlined project plan identifying roles and responsibilities as appropriate</b> <b>If yes, please include information in the appendices section below.</b>	<b>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></b>
<b>Will this project require the winning supplier(s) to process personal data on our behalf?</b>	<b>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></b>
<b>If yes, please make sure you've defined roles and responsibilities within your project specification. For more information visit <a href="#">Designing Specifications under GDPR</a>. You may include your Privacy Impact Assessment or other relevant report as an appendix to this PT form when submitting to category board (for information).</b>	
<b>Evaluation Panel – Please enter Names of evaluators and Departments below (if known)</b>	
<b>Not required as direct award. However Sarah Greenwood and the Mosaic Advisory Board have been reviewing the requirements of the system to ascertain this is the best way forward.</b>	<b>Commissioning Manager, Community and Children's Services</b>

#### Procurement Timeframes

Target tender live date (to market)	01/12/2021	Notification of outcome / intention to award date	01/04/2022
Target contract start date	31/10/2022		
<b>Are there any time, quality, or cost constraints which need to be taken into consideration?</b>  New service must be operational and all data migration completed by 31 <sup>st</sup> October 2022 in order for the City to comply with its statutory duties. The provider must have an off the shelf solution which is used by other LAs and the ability for workflows to be customised to negate the need for writing a new programme			

<b>How will the Procurement meet the City's:</b>
<b>Responsible Procurement Strategy:</b> N/A as a direct award, however any evaluation for a tender would be in line with City Proc requirements (7% social value)
<b>TUPE/Pension liabilities that need to be considered (including future exit provisions where applicable)?</b> TUPE liabilities not applicable given Servelec's other contracts
<b>Will this procurement be split into Lots?</b> No
<b>Other:</b> N/A

**Baseline Savings Calculation:** *This section should include how the baseline figure for savings has been calculated against the [Efficiency and Savings Process Manual](#) in accordance with paragraph 3.1, including any suggested savings or efficiencies e.g. reduced service.*

<b>Agreed Baseline (£):</b>	£237,500 (current revenue over 5 years)
<b>Summary of Baseline Calculations / Savings Proposal</b>	
<b>Note:</b> Typically, the baseline is an existing price but may also be a budget value, estimate, forecast, standard cost or planned expense.	
Please confirm the <b>Baseline Calculation</b> that has been applied below to establish the <b>Agreed Baseline</b> :	
<ul style="list-style-type: none"> <li><b>Previously Contracted Costs</b> (where there is an existing contract): <input checked="" type="checkbox"/></li> <li><b>Previously Contracted Costs</b> (where there are multiple contracts): <input type="checkbox"/></li> <li><b>Attributed Costs:</b> <input type="checkbox"/></li> <li><b>Target Cost:</b> <input type="checkbox"/></li> <li><b>Other methodology**</b> (agreed with Finance Representative) and explained below: <b>Yes</b> <input type="checkbox"/></li> </ul>	

**Procurement Strategy Options:** *This could include inter-departmental usage, external collaborative opportunities, existing contracts integrated once expired or adding it to an existing contract. Options for Make (In-house delivery) versus Buy (Outsource) decision to be considered; also indicate any discarded or radical options.*

<b>Option 1: Outsource to a third party</b>
<b>Advantages to this Option:</b>
<ul style="list-style-type: none"> <li>Provider expertise across the market</li> <li>Competitively source and leverage appropriate expertise from the market</li> <li>Potential for product and service development to meet good practice</li> </ul>
<b>Disadvantages to this Option:</b>
<ul style="list-style-type: none"> <li>Potential time and cost implications for a competitive procurement</li> </ul>
<b>Please highlight and possible risks associated with this option:</b>
<ul style="list-style-type: none"> <li>Time and capital cost implications to change providers</li> </ul>
<b>Option 2: Insource via in-house delivery</b>
<b>Advantages to this Option:</b>
<ul style="list-style-type: none"> <li>No contract required</li> </ul>
<b>Disadvantages to this Option:</b>
<ul style="list-style-type: none"> <li>The Corporation does not have the required expertise to deliver the service and would need to recruit</li> <li>Increase in staff costs (for example, via recruitment; salaries; on-costs; pension liabilities; &amp; training etc.)</li> <li>Does not comply with the City's policy of buy not build</li> </ul>
<b>Please highlight and possible risks associated with this option:</b>
<ul style="list-style-type: none"> <li>Departmental budgets do not account for the cost of an internal service</li> <li>City of London is not a specialist case management provide – potential risks to quality outcomes for service users and clients</li> </ul>
<b>Option 3: join with another Local Authority (e.g. Hackney)</b>
<b>Advantages to this Option:</b>
<ul style="list-style-type: none"> <li>City shares many services with other neighbouring Local Authorities.</li> <li>Reduced procurement costs</li> <li>Potential reduced costs of service</li> </ul>
<b>Disadvantages to this Option:</b>
<ul style="list-style-type: none"> <li>Hackney would be the preferable service given the shared services</li> <li>Preferred Local Authorities would be those with whom we share service users</li> </ul>

<ul style="list-style-type: none"> <li>Hackney are not currently in a position to consider a shared service following the 2020 cyber attack</li> </ul>
<b>Please highlight and possible risks associated with this option:</b> <ul style="list-style-type: none"> <li>Timescales might not be aligned</li> </ul>

### **Procurement Strategy Recommendation**

<b>City Procurement team recommended option</b>
<b>Option 1: Outsource to a third party</b>

N.B. Additional advantages/disadvantages may apply if a waiver is the recommended route. If recommending an extension, please make sure that CCM has been consulted (where appropriate) and that we include information on contract terms.

**Route to Market Options:** *Route to market is the way in which the City will invite suppliers to bid for the procurement.*

<b>Option 1: Open Tender</b>
<b>Advantages to this Option:</b> <ul style="list-style-type: none"> <li>An increase in competition due to more suppliers having the opportunity to bid opposed to a closed supplier list under a Framework Agreement</li> <li>Organisations of all sizes have the opportunity to submit a tender, increasing the opportunity for a number of innovative proposals/solutions</li> <li>Advantageous for simple and straight forward requirements</li> <li>Providing full tender documentation (at the outset) enables candidates to make an informed decision as to whether they can satisfy the requirements or choose to discount themselves from the competition</li> <li>The City uses its own Terms which are more favourable than a Framework agreement</li> </ul>
<b>Disadvantages to this Option:</b> <ul style="list-style-type: none"> <li>All tenders must be evaluated; therefore, there can be resource implications of a potentially lengthy tender evaluation (due to a high volume of responses)</li> <li>Increases the risk of challenge - more responses and time invested/transaction costs in preparing a tender as opposed to a Selection Questionnaire</li> <li>Poor quality bids, typically due to the fact there is an increased chance of being unsuccessful and a limited timescale</li> <li>No opportunity to discuss / refine bids</li> <li>No guarantee wider market engagement will deliver better options than G-Cloud 12 framework</li> </ul>
<b>Please highlight and possible risks associated with this option:</b> <ul style="list-style-type: none"> <li>Large number of tenders submitted all requiring evaluation.</li> <li>Proportionate minimum requirements, thresholds and weightings being applied to the pre-determined evaluation criteria can help mitigate the risk of an excessive response rate. Furthermore, such risk can be further minimised where there are a small number of specialist suppliers who can meet the specific requirements of the Corporation.</li> </ul>
<b>Option 2: Direct Award to Servelec using an established multi-Supplier Framework Agreement (GCloud)</b>
<b>Advantages to this Option:</b> <ul style="list-style-type: none"> <li>Direct Award procedure on the basis of being able to identify the most economically advantageous provider without conducting a further competition.</li> <li>Continuity of supplier (no need for a mobilisation period)</li> <li>Supplier current system knowledge and set up</li> <li>Cost avoidance – potential saving of £151k of capital costs (capital costs of product, data migration, training, external project management and report configuration)</li> <li>Best value for money of recent interface implementation to meet legal requirements (Conexus to share health information with professionals at a cost of £14k (implemented in Summer 2021)</li> <li>Allows time for discussion with Hackney regarding longer term joint tender</li> <li>A search under GCloud (cloud hosting, software and support, cloud software, electronic document and records management EDRM)) using the keywords adults and children social care case management and the filters shown in the appendix) led to 2 potential suppliers: <ol style="list-style-type: none"> <li><b>Mosaic Social Care Case Management</b> (current system provided by Servelec) £450 per user pa (min 100) = £45,000 pa but excludes hosting – clarification has been received that the total costs are a total of £217,265 across 4 years. MAB asked for a bench marking exercise to be undertaken with other Mosaic using LAs. All other boroughs were not willing to share exacts costs due to the commercially sensitive nature of the information without a FOI request. However, they were willing to confirm that annual costs were significantly higher than the city's due to the additional licenses held.</li> </ol> </li> </ul>



2. **AzeusCare Case Management System:** £251,000 pa for a minimum of 300 users This is inclusive of hosting but exclusive of training. This potentially also includes API cost of health data as there is existing integration with NHS spine but exact costs would be determined once further information is shared with the provider. Assessment of AzeusCare has been undertaken to determine whether it is suitable for the City's needs and whilst it appears so, the reviewer is only aware of them being used in one other London LA (Newham).

**Disadvantages to this Option:**

- No known disadvantages. Mosaic is a known product that meets the needs of the City of London
- May be more difficult to demonstrate best value without a competitive tender.

**Please highlight and possible risks associated with this option:**

- Potential for challenge by other competitors (in particular Azeus) , although this is felt to be minimal given the City can justify direct award via GCloud using the aforementioned search terms.
- A financial appraisal was carried out by the Chamberlains in September 2021. This identified a recent Dun and Bradstreet report outlining significant financial risk. Following the acquisition of Servelec by the Access Group, a second financial assessment was completed demonstrating a significant reduction in risk as a result. This report is attached for information. As a provider of a number of departmental systems, Servelec has been included within the DCCS business continuity plan as a strategic provider and regular business continuity testing has been included within account meetings with the provider. The Commercial Contract Management team of City procurement have confirmed that the actions taken are sufficient to enable Servelec to continue as a supplier to the City



MTC0142(Mon).pdf

**Option 3: Mini Competition within an established multi-Supplier Framework Agreement (e.g. CCS)**

**Advantages to this Option:**

- Instant route to bidding phase
- 2 identified suppliers (see option 2 above) but competition could be between more
- Checked on framework and suppliers are available
- Compliant with Procurement Contract Regulations 2015
- Reduced administrative burden in terms of the time and transaction costs (both supplier and Corporation) compared to running a full procurement process
- Suppliers have been identified, vetted, and quality checked via a competitive procurement process

**Disadvantages to this Option:**

- Closed competition thus limited to the appointed suppliers under the Framework Agreement
- The bespoke needs of the Corporation might not be reflected, and the Framework Agreement will be limited in variation to any resultant call-off contract
- Significant capital costs and minimal realisation of capital cost of Conexus API implementation if winning bidder is a different provider
- Officer time in undertaking due diligence where required (Comptrollers, Procurement, Finance, Insurance and Stakeholder)

**Please highlight and possible risks associated with this option:**

- Risk of significant capital resources and Mosaic Advisory Board time required to configure, test and implement new system including workflows and reporting, migration of data and training

**Route to Market Recommendation**

**Option 2: Direct Award to Servelec using an established multi-Supplier Framework Agreement (GCloud)**

**Outline of appendices**

Digital Market Place search terms used

**Report Sign-offs (prior to Category Board approval)**

Senior Category Manager	Oli Watling	Date	
Finance Representative	Mark Jarvis	Date	3/11/21
Departmental Stakeholder	Chris Pelham	Date	3/11/21

This page is intentionally left blank

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

Document is Restricted

This page is intentionally left blank