

# Cabinet Agenda



**Date:** Tuesday, 6 March 2018

**Time:** 4.00 pm

**Venue:** Conference Hall - City Hall, College Green,  
Bristol, BS1 5TR

## Distribution:

**Cabinet Members:** Mayor Marvin Rees, Nicola Beech, Craig Cheney, Asher Craig, Kye Dudd, Helen Godwin, Helen Holland, Anna Keen, Paul Smith and Mhairi Threlfall

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**Date:** Monday, 26 February 2018



# Agenda

## **PART A - Standard items of business:**

### **1. Welcome and Safety Information**

Members of the public intending to attend the meeting are asked to please note that, in the interests of health, safety and security, bags may be searched on entry to the building. Everyone attending this meeting is also asked please to behave with due courtesy and to conduct themselves in a reasonable way.

Please note: if the alarm sounds during the meeting, everyone should please exit the building via the way they came in, via the main entrance lobby area, and then the front ramp. Please then assemble on the paved area in front of the building on College Green by the flag poles.

If the front entrance cannot be used, alternative exits are available via staircases 2 and 3 to the left and right of the Conference Hall. These exit to the rear of the building. The lifts are not to be used. Then please make your way to the assembly point at the front of the building. Please do not return to the building until instructed to do so by the fire warden(s).

### **2. Public Forum**

Up to one hour is allowed for this item

Any member of the public or Councillor may participate in Public Forum. Petitions, statements and questions received by the deadlines below will be taken at the start of the agenda item to which they relate to.

**Petitions and statements (must be about matters on the agenda):**



- Members of the public and members of the council, provided they give notice in writing or by e-mail (and include their name, address, and ‘details of the wording of the petition, and, in the case of a statement, a copy of the submission) by no later than 12 noon on the working day before the meeting, may present a petition or submit a statement to the Cabinet.
- One statement per member of the public and one statement per member of council shall be admissible.
- A maximum of one minute shall be allowed to present each petition and statement.
- The deadline for receipt of petitions and statements for the **6<sup>th</sup> February 2018** Cabinet is 12 noon on **Monday 5<sup>th</sup> February**. These should be sent, in writing or by e-mail to: Democratic Services, City Hall, College Green, Bristol, BS1 5TR  
e-mail: [democratic.services@bristol.gov.uk](mailto:democratic.services@bristol.gov.uk)

#### **Questions (must be about matters on the agenda):**

- A question may be asked by a member of the public or a member of Council, provided they give notice in writing or by e-mail (and include their name and address) no later than 3 clear working days before the day of the meeting.
- Questions must identify the member of the Cabinet to whom they are put.
- A maximum of 2 written questions per person can be asked. At the meeting, a maximum of 2 supplementary questions may be asked. A supplementary question must arise directly out of the original question or reply.
- Replies to questions will be given verbally at the meeting. If a reply cannot be given at the meeting (including due to lack of time) or if written confirmation of the verbal reply is requested by the questioner, a written reply will be provided within 10 working days of the meeting.
- The deadline for receipt of questions for the 6<sup>th</sup> February 2018 Cabinet is 5.00 pm on Wednesday 21<sup>st</sup> February. These should be sent, in writing or by e-mail to: Democratic Services, City Hall, College Green, Bristol BS1 5TR.  
Democratic Services e-mail: [democratic.services@bristol.gov.uk](mailto:democratic.services@bristol.gov.uk)

**When submitting a question or statement please indicate whether you are planning to attend the meeting to present your statement or receive a verbal reply to your question**

### **3. Apologies for Absence**



#### **4. Declarations of Interest**

To note any declarations of interest from the Mayor and Councillors. They are asked to indicate the relevant agenda item, the nature of the interest and in particular whether it is a **disclosable pecuniary interest**.

Any declarations of interest made at the meeting which is not on the register of interests should be notified to the Monitoring Officer for inclusion.

#### **5. Matters referred to the Mayor for reconsideration by a scrutiny commission or by Full Council**

(subject to a maximum of three items)

#### **6. Reports from scrutiny commission**

**(Page 6)**

#### **7. Chair's Business**

To note any announcements from the Chair

### **PART B - Key Decisions**

#### **8. Improving Public Health - A Clean Air Plan for Bristol**

**(Pages 7 - 35)**

#### **9. Airport Road and change request for LEP LGF allocation**

**(Pages 36 - 48)**

#### **10. Better Lives Programme - Mobile Working for Social Care Teams**

**(Pages 49 - 102)**

#### **11. Education Capital Strategy Next Phase**

**(Pages 103 - 123)**

#### **12. Employment Support Innovation Fund**

**(Pages 124 - 189)**





- 13. Bristol City Council Good Food Standards for Procurement of Food and Catering Services**  
**(Pages 190 - 204)**
- 14. Affordable Housing Practice Note (AHPN) 2018**  
**(Pages 205 - 226)**
- 15. Lockleaze Estate Regeneration & Housing Delivery**  
**(Pages 227 - 246)**
- 16. Discretionary Business Rate Relief for Not-For-Profit and Charitable Organisations**  
**(Pages 247 - 261)**

## **PART C - Non-Key Decisions**

- 17. 2017/18 Budget Monitoring Report - P9**  
**(Pages 262 - 282)**



## **Statement from the Overview and Scrutiny Management Board**

**12<sup>th</sup> February 2018**

**For Cabinet – 6<sup>th</sup> March 2018**

### **The Arena**

The Overview and Scrutiny Management Board (OSMB) have ongoing concerns that the decision regarding the future of the Arena will be made without the opportunity for adequate scrutiny of the proposals. This concern was expressed by Members of all 4 political parties and it was agreed that this should be submitted to the March Cabinet.

Elected Members represent their communities and therefore should be involved in shaping the Arena proposals prior to decision at a Cabinet meeting. The location of the Arena is the primary issue that requires consideration and it is vital that Members have time to fully consider the opportunities and risks in relation to the recommended site, particularly regarding the economy, employment and transport.

Members also asked for further clarification regarding community consultation and in terms of the instructions for the Value for Money Review, noting that it would be insufficient to see a recommendation if the brief was not available in full.

OSMB request confirmation of the date on which the Arena decision will be made by the Mayor/Cabinet, as well as the proposed timetable and plan for Scrutiny and community engagement. In the meantime, following media speculation, OSMB has arranged a briefing on 8th March, on the current planning position, as part of preparing for further scrutiny activity.

**MEETING: Cabinet DATE: 06/03/2018**

<b>Title: Improving Public Health - A Clean Air Plan for Bristol</b>	
<b>Ward(s):</b>	<i>Citywide</i>
<b>Author: Alex Minshull</b>	<b>Job title: City Innovation and Sustainability Service Manager</b>
<b>Cabinet lead: Cllr Kye Dudd</b>	<b>Director lead: Zoe Willcox</b>
<b>Proposal origin:</b> <i>Other</i>	
<b>Decision maker: Mayor</b> <b>Decision forum:</b> <i>Cabinet</i>	
<b>Timescales:</b> <i>6<sup>th</sup> March 2018</i>	
<p><b>Cabinet Member / Officer Recommendations:</b>  <i>To:</i></p> <ul style="list-style-type: none"> <li><i>A. Approve the submission to Government of the Strategic Outline Case for the Bristol Clean Air Action Plan.</i></li> <li><i>B. Approve the project plan to complete the development of the Clean Air Action Plan, including engagement and consultation.</i></li> <li><i>C. Approve submission of funding bids and spending of any funding secured from Government on the development of the Clean Air Action Plan up to a limit of £2m.</i></li> <li><i>D. Approve submission of funding bids and spending of any funding secured from the Government's Early Measures Fund for Local NO2 Compliance.</i></li> </ul>	
<p><b>Evidence Base:</b> <i>Bristol has a long standing air quality problem and significant areas of the city have nitrogen dioxide pollution levels higher the EU Limit Value and UK Objective. The City Council has been directed by Government to develop plans by 31<sup>st</sup> December 2018 to achieve compliance with the Limit Value and Objective in the shortest possible time.</i></p>	
<p><b>Purpose of Report:</b>  <i>Air pollution causes harm to people's health – known effects include low birth weight in babies and poor lung development in small children to breathing and heart problems in older adults. Bristol is in breach of the European Limit Value and UK Objectives for nitrogen dioxide in large parts of the city and approximately 100,000 people live in the affected area and there are 35 schools. Some 72% of people in the city consider that air pollution and traffic pollution is a problem (36%) or a serious problem (36%) in their neighbourhoods (Quality of Life Survey 2017). The main source of nitrogen dioxide pollution is road traffic; with diesel cars the largest source responsible for 40% of the emissions. Alongside its transport plans, Bristol City Council is committed to create a Clean Air Plan.</i></p> <p><i>In July 2017 Government formally directed Bristol City Council ("Direction"), to:</i></p> <ul style="list-style-type: none"> <li><i>• By 31 March 2018 undertake a feasibility study and identify options which would deliver compliance with legal limits for nitrogen dioxide in the shortest possible time.</i></li> <li><i>• By 31 December 2018 to identify a preferred option, including value for money considerations and implementation arrangements.</i></li> </ul> <p><i>These proposals meet the City Council's responsibilities under this Direction and commitments made in the Corporate Strategy and the Mayor is asked to approve the proposals.</i></p> <p><i>The Government has created an Early Measures Fund for Local NO2 Compliance and Bristol City Council has submitted a bid – See Appendix A for details.</i></p> <p><i>Alongside the development of the Clean Air Plan there are many other initiatives to improve walking, cycling and public transport in the city which will contribute to reducing pollution from our transport system.</i></p>	
<b>Revenue Cost:</b> <i>£ 1.3m-£2m</i>	<b>Source of Revenue Funding:</b> <i>Grant from Government</i>

<b>Capital Cost:</b> <i>n/a</i>		<b>Source of Capital Funding:</b> <i>n/a.</i>	
<b>One off cost</b> <input checked="" type="checkbox"/> <b>Ongoing cost</b> <input type="checkbox"/>		<b>Saving Proposal</b> <input type="checkbox"/> <b>Income generation proposal</b> <input type="checkbox"/>	
<p><b>Finance Advice:</b> <i>This proposal seeks approval to proceed with the application, acceptance and spending of further grant funding from Defra to carry out the new statutory direction set by the Government in relation to a clean air action plan, according to the detailed guidance and timetable issued by Defra.</i></p> <p><i>In 2016, the Council received c£550k funding from Defra to carry out a Clean Air Zone feasibility study however the subsequent new directive has broadened and superseded the original grant funded project scope to include the production of a clean air action plan and business case. A further £400k of funding has been approved by Government as a contribution to the project.</i></p> <p><i>The total revised cost is estimated around £1.3m which includes direct staffing costs, external consultancy costs and 10% contingency. The time scale for the bulk of this expenditure will incur in financial year 18/19.</i></p> <p><i>Please also note, this phase of the work will eventually lead to next stage implementation of the action plan, the costs and funding source are not yet clear.</i></p>			
<b>Finance Business Partner:</b> <i>Chris Holm</i>			
<b>Corporate Strategy alignment:</b> <i>The Corporate Strategy 2018-2021 commits the City Council to: “ Keep Bristol on course to be run entirely on clean energy by 2050 whilst improving our environment to ensure people enjoy cleaner air...”.</i>			
<b>Legal Advice:</b> <i>The proposals in this Report seek to achieve compliance with Minister’s Direction of 27 July 2017, and the other statutory legal duties of the Council. Failure by the Council to comply with its legal obligations could carry the risk of challenge from third parties including challenge by judicial review. The Council could mitigate these risks by using any funding that may be secured for the preparation of and public consultation on an appropriate and effective Clean Air Action Plan, by adhering to the latest guidance issued by Defra and by applying correctly the legal test in the ClientEarth (No.2) case and referred to in the ClientEarth (No.3) case (see Appendix H).</i>			
<b>Legal Team Leader:</b> <i>Joanne Mansfield 23.02.2018</i>			
<b>City Benefits:</b> <i>This proposal will improve public health by achieving legal nitrogen dioxide Objectives in the shortest possible time.</i>			
<b>Consultation Details:</b> <i>Public and stakeholder engagement and consultation are key parts of the project plan in 2018, see Appendix A.</i>			
<b>DLT Sign-off</b>	Alison Comley	06/12/17	
<b>SLT Sign-off</b>	Alison Comley	12/12/17	
<b>Cabinet Member sign-off</b>	Kye Dudd	15/02/18	
<b>Mayor’s Office sign-off</b>	Kevin Slocombe	20/12/17	
Appendix A – Further essential background / detail on the proposal			<b>YES</b>
Appendix B – Details of consultation carried out - internal and external			<b>YES</b>
Appendix C – Summary of any engagement with scrutiny			<b>YES</b>
Appendix D – Risk assessment			<b>YES</b>
Appendix E – Equalities screening / impact assessment of proposal -			<b>YES</b>
Appendix F – Eco-impact screening/ impact assessment of proposal -			<b>YES</b>
Appendix G – Exempt Information			<b>NO</b>
Appendix H – Legal Advice			<b>YES</b>
Appendix I – Combined Background papers			<b>YES</b>

# Appendix A: Proposals to Develop a Clean Air Plan for Bristol

## 1 Introduction

- 1) Bristol City Council is developing a Clean Air Plan for Bristol to improve public health and meet its legal requirements. This Appendix sets out:  
Section 2 - The background to air quality issues in Bristol  
Section 3 - The proposed project approach to be approved  
Section 4 - A summary of the Strategic Outline Case to be submitted to Government  
Section 5 – A summary of Bristol’s bid to the Government’s Clean Air Fund.

## 2 Background

### 2.1 Public Health impacts of Air Pollution

- 2) Air pollution affects people’s health. There are a range of known health effects which could affect people from before birth to old age including:
  - low birth weight of babies
  - impaired lung development in small children, smaller lungs
  - a contributing factor in the onset of heart disease
  - acute respiratory exacerbations and
  - premature death.Air pollution particularly affects the most vulnerable in society: children and older people, and those with heart and lung conditions.

### 2.2 Legal Requirements

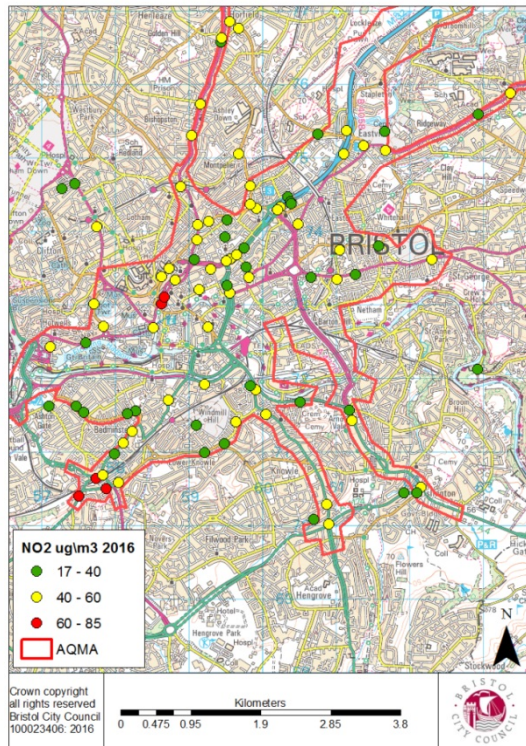
- 3) To protect people’s health the European Union and the UK Government has set legal standards for a range of air pollutants. Bristol’s compliance with these standards for nitrogen dioxide needs to improve.
- 4) Bristol City Council declared an Air Quality Management Area in 2001 for Nitrogen Dioxide (NO<sub>2</sub>) and Particulates (PM<sub>10</sub>). The boundary has been amended slightly but still covers the central area of the city and arterial routes. See Figure 1. Approximately 100,000 people live in this area and there are 35 schools.
- 5) In July 2017, Government formally directed Bristol City Council, to:
  - By 31 March 2018 undertake a feasibility study and identify options which will deliver compliance with legal limits for nitrogen dioxide in the shortest possible time; and
  - By 31 December 2018 to identify a preferred option, including value for money considerations and implementation arrangements.
- 6) The proposed approach takes into account this Direction and the detailed Government guidance issued subsequently. A key aspect of this is the need to identify the option (s) which would deliver compliance with legal limits for nitrogen dioxide in the area for which the Council is responsible, in the shortest possible time.

### 2.3 Air Pollution Monitoring and Trends

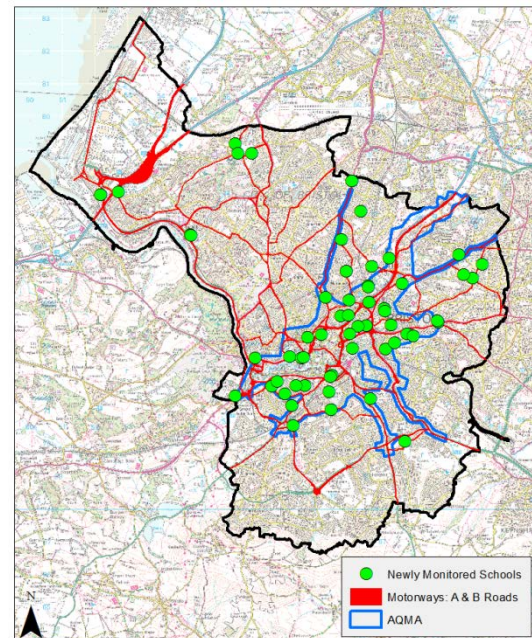
- 7) Bristol City Council has a comprehensive monitoring network for nitrogen dioxide, at over 100 sites around the city, including continuous analysers which publish data in real time to the internet. See Figure 1. In September 2017 the City Council published the Annual Status Report and submitted it to Government. The report is available at [www.bristol.gov.uk/airquality](http://www.bristol.gov.uk/airquality)

- 8) In response to citizens' concerns Bristol City Council is expanding this monitoring network to include all the schools within the Air Quality Management Area and other schools in the city which lie within 100m of a busy road. See Figure 2.

**Figure 1 Air Quality Management Area and existing monitoring sites**



**Figure 2 Newly Monitored Schools (from January 2018)**

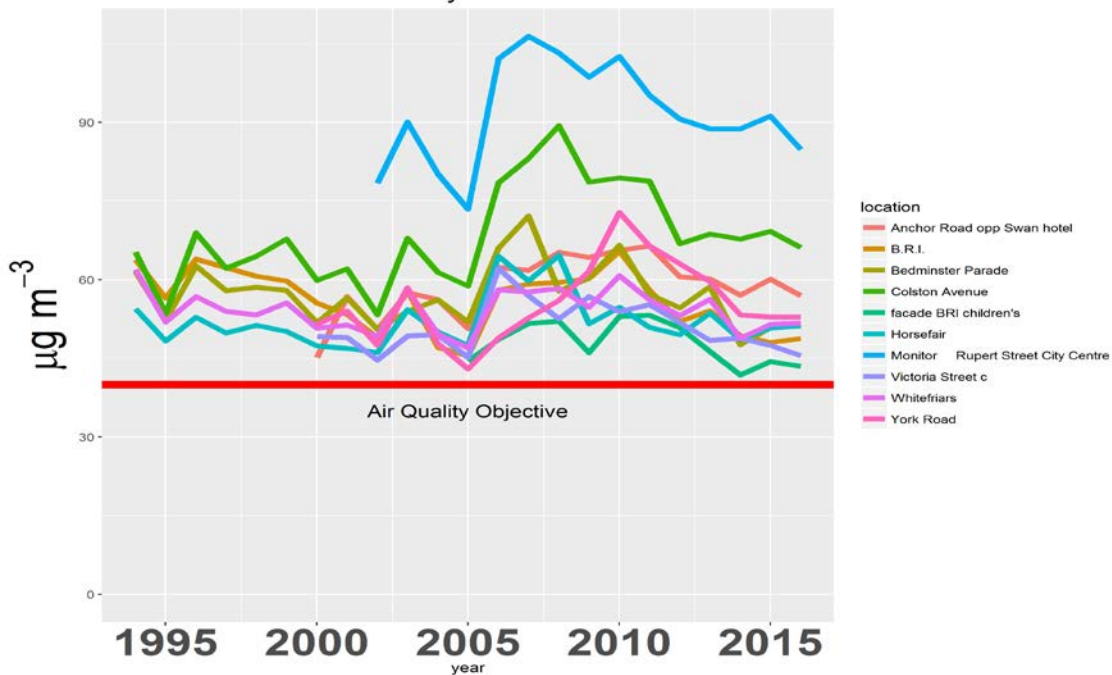


(Nb. Green colour does not indicate air quality as per Figure 2)

- 9) Trends in nitrogen dioxide have remained stable over the last 20 years, but show slight improvement over the last five years. At some locations annual mean concentrations exceed 60 ug m<sup>-3</sup> and widespread breaches of the annual mean EU Limit Value and UK Objective for nitrogen dioxide exist.



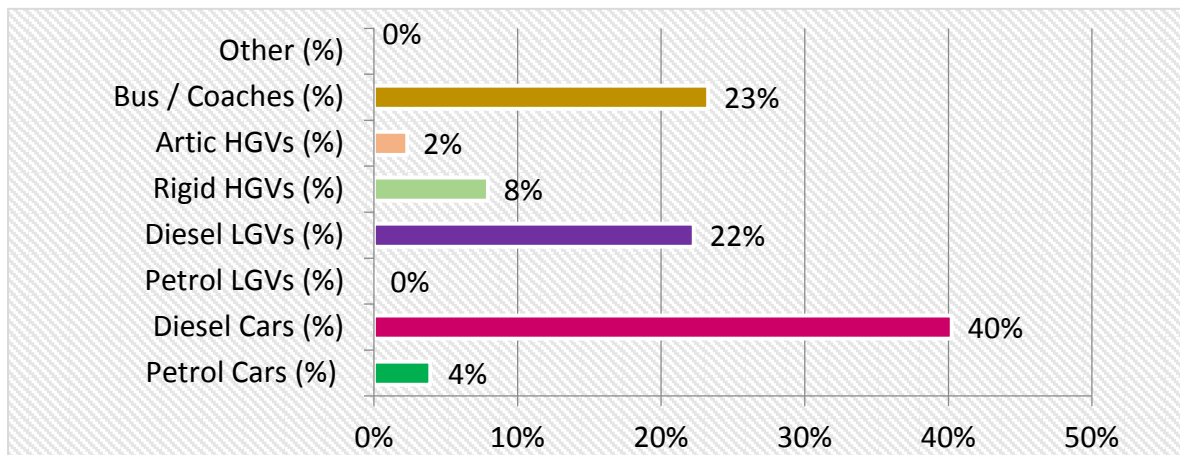
**Figure 3 Trends in nitrogen dioxide pollution at city centre sites**



**2.4 Sources of Nitrogen Dioxide Pollution in Bristol**

10) The main source of nitrogen dioxide, derived from nitrogen oxides pollution is road traffic. The estimated contribution which different types of vehicles make to this pollution is shown in Figure 4. Diesel vehicles contribute 96% of the nitrogen oxide pollution from the transport sector with the biggest source of pollution being diesel cars (40%) followed by Buses and Coaches (23%) and Diesel Vans (22%). Significant investment, with support from the Council and Government, is taking place within the commercial bus fleet to reduce the pollution it creates.

**Figure 4 Nitrogen Dioxide emissions from traffic in central Bristol**

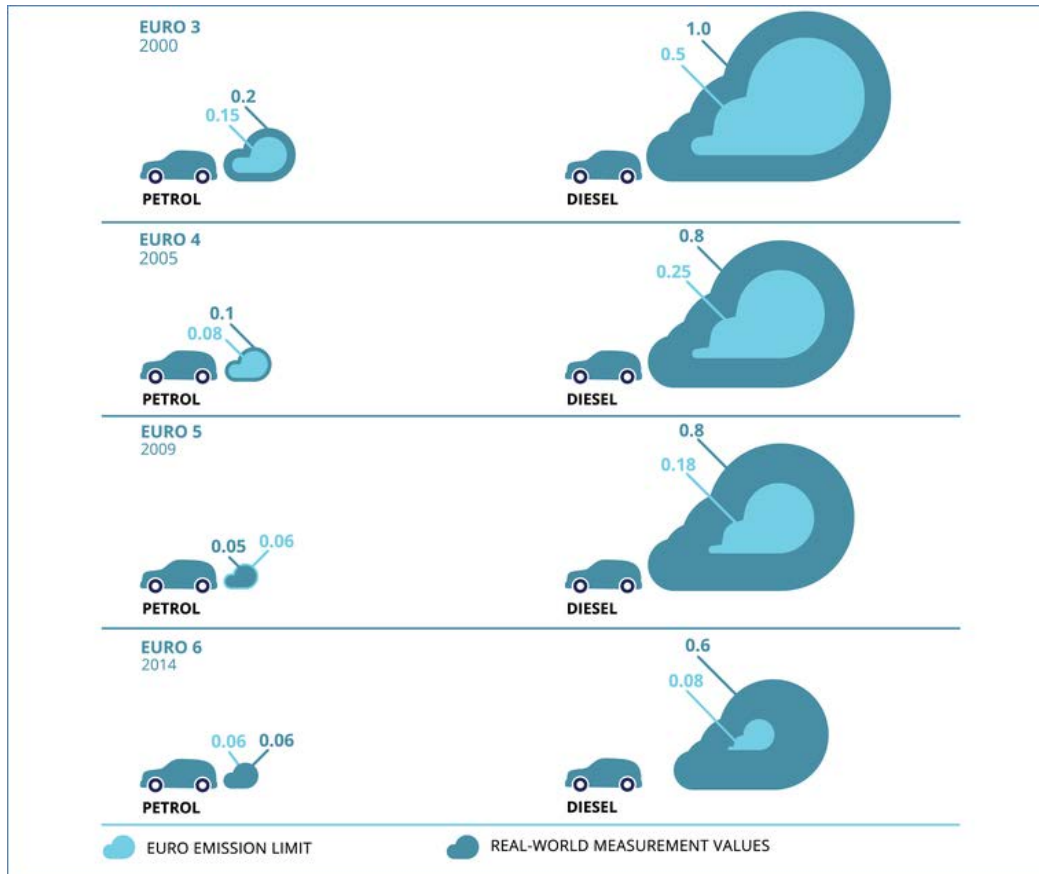


**2.5 Pollution Contribution of Different types of vehicles**

11) Vehicles sold in the UK need to comply with European regulations for air pollution. These are referred to as the EURO standards and have reduced the allowable pollution emitted from vehicle exhausts at each revision. The current standards for the newest cars are Euro 6.

- 12) Many vehicles emit more pollution when driven in the real world than they do in the laboratory tests. Figure 4 shows the UK government’s data on emissions from different car types. It shows that diesels emit much more pollution than petrol cars and that the gap between the test standard and average real world performance is much greater for diesels.

**Figure 5 Nitrogen Dioxide emissions from different car types**



**2.6 Clean Air Zones**

- 13) The Government has set out a new policy in 2016 for Clean Air Zones. The Government’s vision is:

“Clean Air Zones improve the urban environment to support public health and the local economy, making cities more attractive places to live, work, do business and spend leisure time. They support cities to grow and transition to a low emission economy thus ensuring these benefits are sustainable for the long term.”

- 14) The Government’s framework for clean air zones states:

*“A Clean Air Zone defines an area where targeted action is taken to improve air quality and resources are prioritised and coordinated in order to shape the urban environment in a way that delivers improved health benefits and supports economic growth.*

*Clean Air Zones aim to address all sources of pollution, including nitrogen dioxide and particulate matter, and reduce public exposure to them using a range of measures tailored to the particular location.*

*Within a Clean Air Zone there is also a particular focus on measures to accelerate the transition to a low emission economy. This will ensure improvements are ongoing and sustainable, support future development and decouple local growth from air pollution.*



*Clean Air Zones bring together local measures to deliver immediate action to improve air quality and health with support for cities to grow while delivering sustained reductions in pollution and a transition to a low emission economy. Where there are the most persistent pollution problems, this is supported by restrictions to encourage only the cleanest vehicles to operate in the city.”*

- 15) Clean Air Zones fall into two categories:
1. **Non-charging Clean Air Zones** – These are defined geographic areas used as a focus for action to improve air quality, but does not include the use of charge based access restrictions.
  2. **Charging Clean Air Zones** – These are zones where, in addition to the above, vehicle owners are required to pay a charge to enter, or move within, a zone if they are driving a vehicle that does not meet the particular standard for their vehicle type in that zone.
- 16) The Government has set out 4 different classes of Charging Clean Air Zones:
- Class A – buses, coaches, taxis, private hire vehicles
  - Class B – buses, coaches, taxis, private hire vehicles and HGVs
  - Class C – buses, coaches, taxis, private hire vehicles, HGVs and LGVs
  - Class D– buses, coaches, taxis, private hire vehicles, HGVs, LGVs and cars.
- 17) In a Charging Clean Air Zone some vehicles would be exempt from a charge. Exempted vehicles are defined by their EURO class – a designation which relates to their emissions of key pollutants – see section 2.5 above. EURO 6\VI diesel vehicles and EURO 4\IV petrol vehicles would be exempt from charges. EURO 6\VI vehicles are generally registered after 2014, while EURO 4\IV vehicles are those usually registered after 2006. Zero or “Ultra Low” emissions vehicles such as electric vehicles would also be exempt from charges.

### **3 Proposed Approach to Develop the Bristol Clean Air Plan**

- 18) Bristol City Council was awarded funding from Government in 2017 to conduct a feasibility study for a Clean Air Zone. An assessment of options was undertaken and a short list of options for further study were taken to a Cabinet meeting in August 2017, but the decision to proceed was deferred due to comments received from Clientearth. This project has now been re-scoped to comply with the new duty laid out through a Government Direction imposed on Bristol City Council in July 2017, and new guidance from Government.
- 19) The project requires a significant amount of technical expertise and consultants, CH2M (now Jacobs), have been engaged by Bristol City Council following BCC Commissioning and Procurement Group approval.

#### **3.1 Project Costs**

- 20) Additional funding has been sought from Government to fulfil this new duty. Table 1 summarises the funding requirements for the development of Bristol’s Clean Air Plan and estimated costs for key activities in the project.

**Table 1 Project budget**

Activity	Cost £k
Data collection	85
Assessment of options, including reporting	446
Business Case	62
Detailed design of scheme	125
Communications, Consultation and Engagement	240
Project management and support costs	246
Contingency	120
Total	1,327

**3.2 Project Delivery**

- 21) The Mayoral Air Pollution Working Group provides the strategic direction for air quality policy and development of the Clean Air Plan. It is chaired by Cllr Kye Dudd, Cabinet Member for Energy, Waste and Regulatory Services and Cabinet Member for Transport, Cllr Mhairi Threlfall.
- 22) Bristol City Council Project Governance is provided by the Air Quality Board which includes Directors responsible for Public Health, Planning and Transport. The Air Quality Board is responsible for project sign off, including change control and strategic oversight.
- 23) An officer steering group oversees the operational and technical aspects of the project. This group comprises technical officers from transport planning, air quality and public health as well as consultants CH2M, University of the West of England and Air Quality Consultants - who have been retained for the work on assessing public health impact.
- 24) Close liaison is maintained with the West of England Combined Authority, South Gloucestershire Council and Bath and North East Somerset.

**3.3 Project Timetable**

- 25) The project is proceeding rapidly to meet the requirements of the Government Direction of July 2017. The indicative timetable is shown in Table 2.

**Table 2 Indicative Timings**

	2017	2018			
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sept	Oct-Dec
Planning and funding					
Strategic Outline Case					
Outline Business Case					
Public and stakeholder engagement					
Public Consultation					
Full Business Case					

### **3.4 Public and Stakeholder Engagement**

- 26) The majority of Bristol's residents are concerned about air quality and traffic pollution in their neighbourhood. In the 2017 Quality of Life Survey some 72% said it was a problem or a serious problem.
- 27) The Clean Air Plan will include policies and projects to reduce pollution which will require change in peoples' and businesses' travel choices. We need to ensure that, prior to formal consultation on specific proposals, there is good understanding of the air quality problem in Bristol and potential solutions. We also aim to ensure that residents and businesses can engage with the process of identifying policies to support the key interventions and mitigate some of the adverse effects.
- 28) The work will be in two parts:
  - Engagement – February to September 2018: conversations with key audiences and stakeholders
  - Formal Consultation on the preferred proposal towards the end of 2018.
- 29) A range of stakeholders will be engaged, including:
  - Politicians/ local government
  - Transport – operators/ projects
  - Transport users groups
  - Key businesses/ business groups
  - Key service providers
  - Key population groups and equalities groups.
- 30) The engagement activities will work alongside an existing Project – ClairCity which led by the University of the West of England and aims to reach a range of residents to raise awareness of the impacts of air pollution and solutions. This is a European Commission funded research project and will be running throughout 2018. The output from the project will be used to inform the Clean Air Plan and transport plans.

## **4 Summary of the Strategic Outline Case**

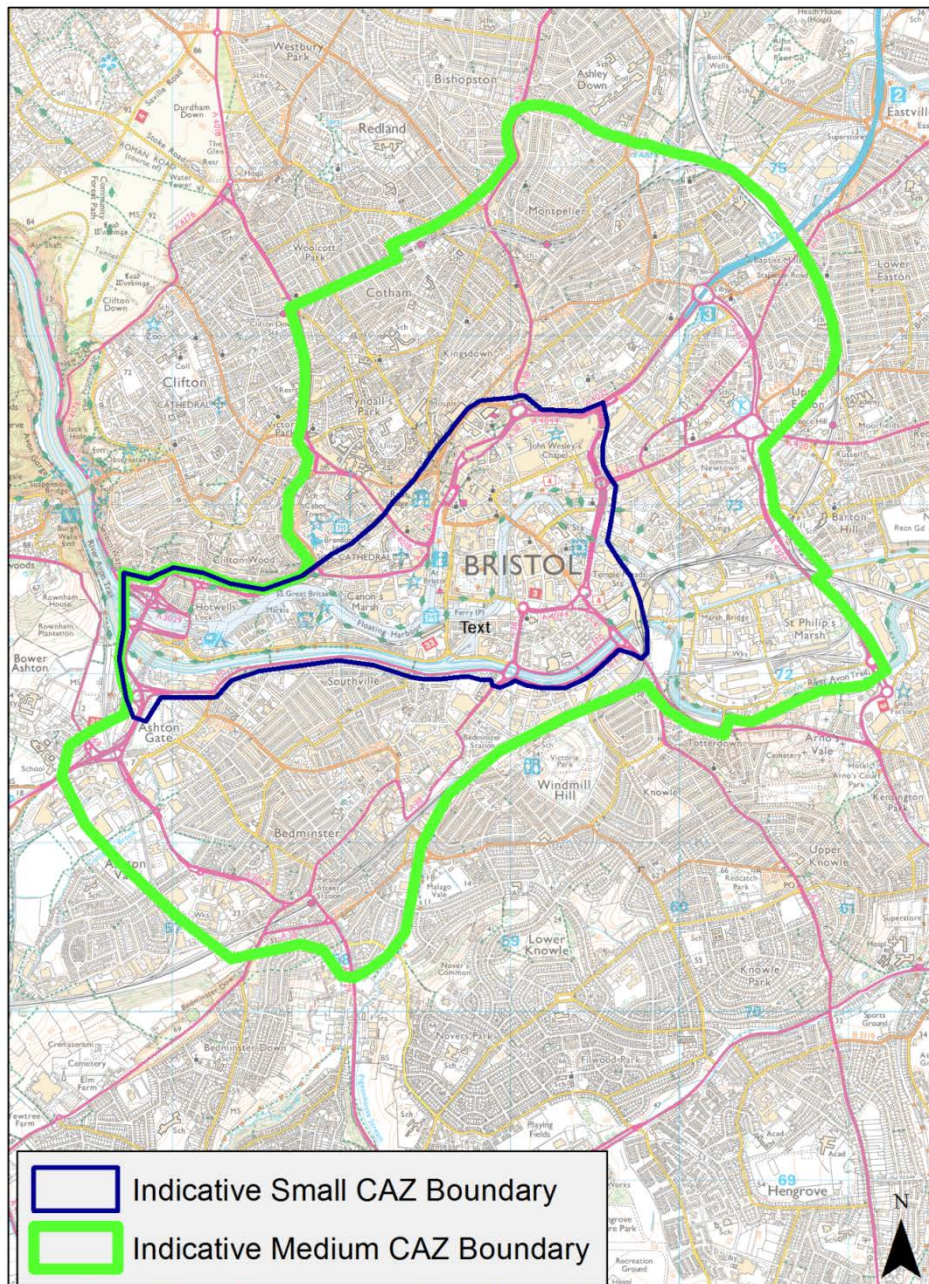
- 31) The Government has directed Bristol City Council to submit the “Strategic Outline Case” (SOC) for a package of measures which will bring about compliance with legal limits for nitrogen dioxide in Bristol, in the shortest possible time. It has been produced in line with their corresponding Inception, Evidence and Options Appraisal packages of Guidance issued by the Joint Air Quality Unit (JAQU) in 2017, and the HM Treasury Green Book five-case framework.
- 32) To develop the Strategic Outline Case we have:
  - Developed a list of over 70 possible options to improve air quality in Bristol which include investment in public transport and cycling, changes in traffic management, greater use of existing regulatory powers and measures to support and encourage a shift to cleaner vehicles, including the creation of various charging Clean Air Zones;
  - Assessed these options against a list of critical success factors to identify those most likely to contribute to the aim of achieving compliance with the European Limit Value and UK Objective for annual mean nitrogen dioxide in the shortest time possible in Bristol;
  - Considered the feedback received from stakeholders and in Public Forum Statements made at Cabinet in August 2017;
  - Developed a set of Options which comprise packages of measures to be taken forward for more detailed assessment from which a final option can be recommended for the Outline Business Case, as set out below..

- 33) These Options are:
1. A Non-Charging Clean Air Zone with complementary non-charging interventions
  2. A Charging Clean Air Zone (Medium size, Class C – all vehicles except cars) with complementary interventions
  3. A Charging Clean Air Zone (Medium size, Class D – all vehicles) with complementary interventions
  4. A Charging Clean Air Zone (Small size, Class C – all vehicles except cars) with complementary interventions
  5. A Charging Clean Air Zone (Small size, Class D – all vehicles) with complementary interventions.
- 34) The complementary interventions in Options 2-5 are the same and are a sub-set of the interventions in Option 1. Further details on charging classes is set out in Section 2.6 and in the draft Strategic Outline Case – [www.bristol.gov.uk/airquality](http://www.bristol.gov.uk/airquality)
- 35) A standalone medium Class D CAZ will be tested as a “benchmark” option following guidance from JAQU.
- 36) The initial analysis of the options has assessed them against the requirement to deliver compliance with nitrogen dioxide Limit Values and Objectives in the “shortest possible time”. The 5 options recommended for further assessment above are estimated to achieve compliance in 2023. The next stage of analysis will consider this in much more detail.
- 37) In considering the long list of options we have carefully considered the option of a Large Zone which covers the whole of the Bristol urban area to the M4 and M5 including areas of Bristol City Council and South Gloucestershire Council. Several stakeholders identified this as their preferred option. However it has not been chosen as an option to progress to the next phase of study because of the time taken to implement the zone which would mean that it would not achieve compliance with the nitrogen dioxide Limit Values and Objectives in the “shortest possible time”.
- 38) The Strategic Outline Case will be submitted to Government for their consideration and further progressed to create the Outline and Full Business Cases.

- 39) Indicative boundaries for the Small (blue line) and Medium (green line) Charging Zone are shown in Figure 6. These are intended as a guide only and detailed design will be undertaken prior to formal public consultation. The boundaries have been drawn to indicate which main roads are included in each option. In some cases this means that some residential areas are shown as within the charging zone when in reality they would not need to be included for the zone to be effective. One of the design principles was to minimise the costs of implementation by using natural boundaries and hence the number of cameras needed for enforcement.

**Figure 6 Indicative boundaries for further study**

### Indicative CAZ Boundaries - Subject to Consultation





**5 Bristol's Bid to the Government's Early Measures Fund for Local NO2 Compliance.**

- 40) The Government has established an Early Measures Fund for Local NO2 Compliance and has invited bids from local authorities for measures which could be implemented within the 18/19 financial year and which have an immediate impact on improving air quality.
- 41) Bristol City Council has submitted a bid with two components:
- To improve cycling in South Bristol by providing a new dedicated cycle and pedestrian cycle route in Wedmore Vale.
  - To support the uptake of Ultra Low Emission Hackney Carriages, for example electric hybrid vehicles.
- 42) The implementation of these proposals will depend on success of this funding bid and Bristol City Council does not have funds of its own to implement them. A decision on these bids is expected in March.

## Appendix B – Details of consultation carried out so far

The development of the Clean Air Plan has been considered by:

1. Mayoral Air Pollution Working Group – meeting monthly throughout 2017.
2. Congestion Working Group – presentation to meeting in September 2017 and subsequent liaison through BCC Officers
3. BCC Scrutiny – A Scrutiny Task and Finish group has been established. It met in September 2017.
4. Some initial stakeholder engagement has taken place including with some transport operators, South Gloucestershire Council, Bath and North East Somerset Council and West of England Combined Authority.

## Appendix C – Details of engagement with Scrutiny and Members

The development of the Clean Air Plan was initially considered by **Place Scrutiny Commission** (February 2017): The Commission received a report on the latest Government Air Quality Plans, the submission by BCC of the grant application for funding for the Clean Air Zone Feasibility study and a communication and engagement project. <https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=133&MId=205&Ver=4> The Commission noted the progress, noted that all four main political parties in Bristol supported the idea of a Clean Air Zone in principle and further engagement.

To provide additional scrutiny input air quality was selected by the Overview and Scrutiny Management Board as a topic for a **Scrutiny Task and Finish Group**. It met in September 2017 and received an update on:

- The air quality challenge in Bristol
- The feasibility study work undertaken
- The Direction from Government
- The changing scope and the initial plan to comply with the Direction and to create a Clean Air Action Plan for Bristol.

On the 5<sup>th</sup> December 2017 the Air Quality Task and Finish Group met to be updated on the current progress of the study.

On the 8<sup>th</sup> January 2018 an enlarged Air Quality Task and Finish Group considered the proposals and the options recommend for further investigation in this Cabinet Report. Present at that meeting were: Councillors Tony Carey (Chair), Mike Langley, John Wellington, Charlie Bolton, Fabian Breckels, Jo Sergeant, Jerome Thomas, Gill Kirk, Mark Wright, Kye Dudd (Cabinet Member for Energy, Waste and Regulatory Services) and apologies were received from Councillor Tom Brook.

The Task and Finish group received a presentation on the technical work undertaken and the content of the Cabinet Report 'Improving Public Health - A Clean Air Plan for Bristol'. Following consideration of the proposals the views of the Scrutiny Task and Finish Group were:

- Overall the group supported the approach being taken by the city council to improve air quality and improve public health, taking into account the legal duties imposed on the city council and the council's powers and resources available.
- The group supported the Council's action to secure and spend additional funding from Government on the development of the Clean Air Plan and Business Case. (Decision 1).

- The group supported the council's approach to the project and in particular the emphasis on early engagement with the public and stakeholders prior to the formal consultation planned for Autumn 2018. A member stated that it is important for BCC to be clear what the public health benefits are going to be from this. (Decision 2).
- The group discussed the preferred options identified in the Strategic Outline Case to be submitted to Government (Decision 3). They discussed the air quality effects and the wider advantages and disadvantages of both charging and non-charging options. The Group asked that these be fully explored in the next phase of the project. Members considered the indicative map of the potential charging zones and suggested amending it to include St Philips Marsh Trading Estate. This has been amended and the updated version is shown in Figure 6.
- Members suggested the following additional measures be considered in the development of the wider Clean Air Plan:
  - Safe Routes to School
  - Introducing a levy on work place parking
  - Home working – promotion of
  - Installing more electric charging points, particularly in public car parks
  - Freight consolidation centre
- Members considered that the approach needs to be a mixture of incentives and regulatory measures.
- Some Members questioned whether the Government are doing enough to support local authorities achieve the necessary results. It was noted that the car scrappage schemes appears to have currently stalled.

In addition all Councilors were invited to briefings prior to the Cabinet consideration of the proposals for a Clean Air Zone feasibility study in August 2017. Approximately 20 Councilors attended.



## Appendix D: Risk management / assessment

The Clean Air Plan project has a detailed risk management process as part of the Project Management process. The key risks arising from this decision are:

The risks associated with the implementation of the decision:							
No	RISK Threat to achievement of the key objectives of the report	INHERENT RISK (Before controls)		RISK CONTROL MEASURES Mitigation (ie controls) and Evaluation (ie effectiveness of mitigation).	CURRENT RISK (After controls)		RISK OWNER
		Impact	Probability		Impact	Probability	
1	That the funding provided by Government is insufficient to complete the project to the required standard and in particular that the costs of consultation are greater than anticipated.	High	Medium	The work has been costed in detail against the guidance available at the time. Work will be reduced to fit within the budget available and further funding will be sought from Government.	Medium	Low	Alex Minshull
2	That the Project deadline imposed by Government requires the multi-tracking of project components, creating additional project delivery risks	Medium	Medium	Project management and governance arrangements are being strengthened to support this additional complexity.	Medium	Low	Alex Minshull
3	Deadline requires multi-tracking in particular that procurement work runs parallel to the consultation process risking the undermining of faith in the consultation process.	High	Medium	Clear communication around the project and in particular the terms of the consultation is being planned	High	Medium	Alex Minshull
4	That some work packages take longer than anticipated and the city council is unable to meet the tight timetable set by the Direction	High	High	Project management arrangements are in place.	High	Medium	Alex Minshull
5	That the Government guidance requires additional work which affects the timetable or costs.	High	High	Regular liaison with Government is taking place to understand the evolving guidance and apply the mitigation controls above.	High	Medium	Alex Minshull
6	That an effective and acceptable package of measures (Plan) cannot be arrived at.	High	High	The project provides for early engagement with stakeholders, consultation on the proposals and extensive Councillor	High	Medium	Alex Minshull

				engagement.			
7	That the project is subject to legal challenge	High	High	The project will follow the guidance developed by Government, take appropriate legal advice and engage and consult widely	High	High	Alex Minshull
<b>The risks associated with not implementing the decision:</b>							
No	RISK Threat to achievement of the key objectives of the report	INHERENT RISK (Before controls)		RISK CONTROL MEASURES Mitigation (ie controls) and Evaluation (ie effectiveness of mitigation).	CURRENT RISK (After controls)		RISK OWNER
		Impact	Probability		Impact	Probability	
1	To not submit the Strategic Outline Case by 31 <sup>st</sup> March 2018, would place the city council in breach of Environment Act 1995 (Feasibility Study for Nitrogen Dioxide Compliance) Air Quality Direction 2017	High	Low	City Councillors unanimously supported the development of an air quality action plan and there has been extensive member engagement including support from the cross party Air Quality Scrutiny Working Group.	High	Low	Alex Minshull
2.	To not approve the project plans, resulting in delay to the project and thus risk to failing to comply with the Direction.	Medium	Low	The proposals have been developed through the Mayoral Air Pollution Working Group chaired by the Cabinet Member for Energy, Waste and Regulatory Services and Cabinet Member for Transport, and with input from Scrutiny group. The proposals would be amended.	Medium	Low	Alex Minshull
3.	To not approve spending on the next phase of the project, resulting cessation of the project and failure to comply with the Direction.	High	Low	The proposals have been developed through the Mayoral Air Pollution Working Group chaired by the Cabinet Member for Energy, Waste and Regulatory Services and Cabinet Member for Transport, and with input from Scrutiny group.	High	Low	Alex Minshull

In addition there are risks arising from the implementation of the Projects presented in the bid to the Government's Early Measures Fund for Local NO<sub>2</sub> Compliance. Separate risk management arrangements will be put in place for those projects..

## Bristol City Council Equality Impact Assessment Form

(Please refer to the Equality Impact Assessment guidance when completing this form)



Name of proposal	Clean Air Plan
Directorate and Service Area	Growth and Regeneration
Name of Lead Officer	Alex Minshull

### Step 1: What is the proposal?

Please explain your proposal in Plain English, avoiding acronyms and jargon. This section should explain how the proposal will impact service users, staff and/or the wider community.

#### 1.1 What is the proposal?

The City Council has been placed under a Statutory Direction of the Secretary of State to develop a Plan to achieve compliance with the standards for nitrogen dioxide in the shortest possible time. This decision is one step in development of this Clean Air Plan – moving from a long list of possible options to improve air quality to a shortlist of options for further study, with one subsequently becoming a preferred option for consultation and implementation.

Prior to this decision the city council has developed a long list of possible measures using the powers that are available to it and which it considers could contribute to achieving compliance in the shortest possible time. These can be grouped into two groups:

- a range of options for a Clean Air Zone – which would result in a daily charge for certain (more polluting) vehicles for entering various specified areas of the city.
- a range of “other measures” to encourage the adoption of cleaner vehicles and encourage more sustainable modes of transport.

The scope of this EQIA is to therefore to consider:

- whether there are options which have been excluded from further consideration which would offer a better outcome from an equalities point of view
- whether the options included for further study create impacts on equalities groups which need to be considered in the next stage in more detail.

## Step 2: What information do we have?

Decisions must be evidence-based, and involve people with protected characteristics that could be affected. Please use this section to demonstrate understanding of who could be affected by the proposal.

### 2.1 What data or evidence is there which tells us who is, or could be affected?

There are broadly three main types of impacts arising from this decision:

1. Impacts on public health from reducing air pollution
2. Impacts of charging clean air zones arising from expenditure of individuals and businesses paying a charge
3. Impacts of other measures which improve and encourage sustainable transport options for people

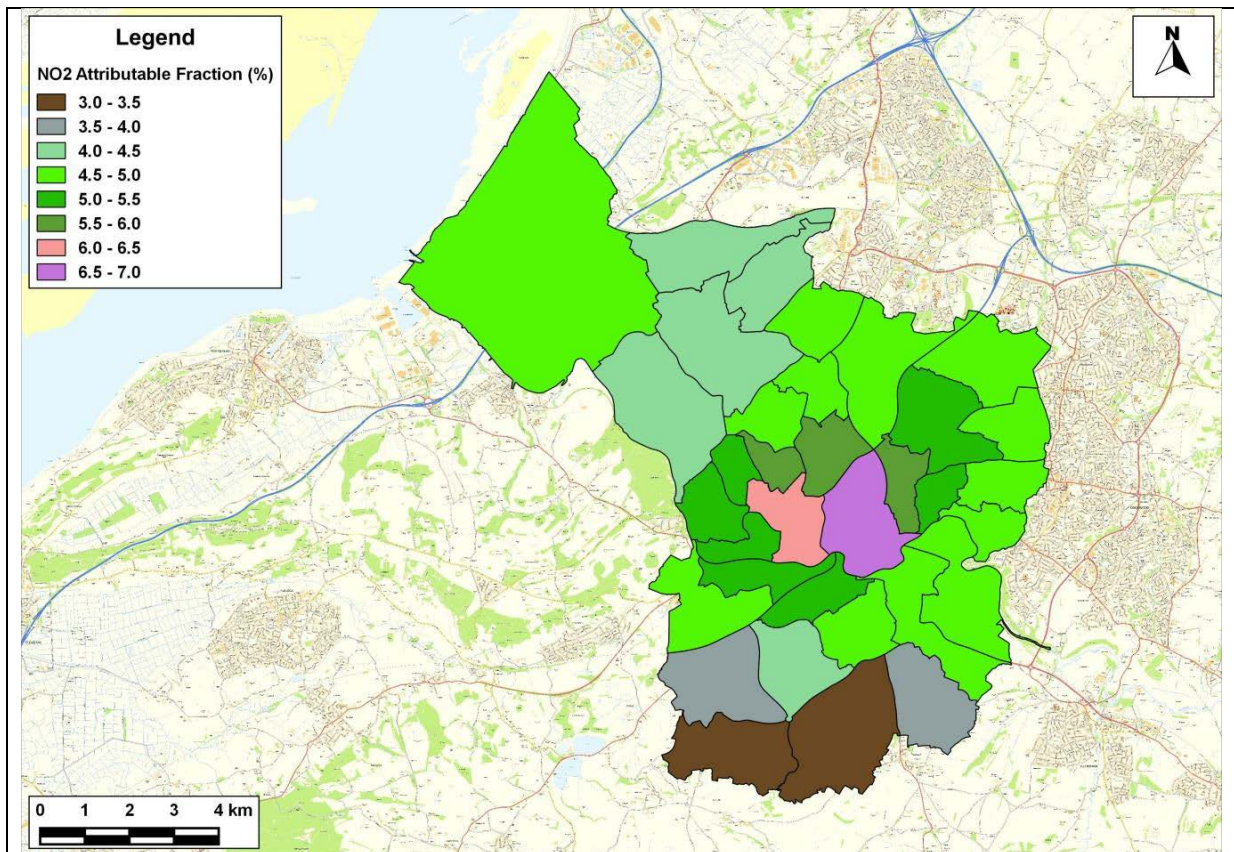
#### **1. Impacts of Reducing Air Pollution**

We manage air pollution in order to protect public health. Reductions in pollution lead to a reduction in both morbidity and mortality. The most recent analysis commissioned by Bristol City Council, based on evidence from the Committee on the Medical Effects of Air Pollutants (COMEAP), calculated that around 300 deaths each year in the City of Bristol can be attributed to exposure to both nitrogen dioxide and fine particulate matter.

Significant parts of the city are affected by air pollution in excess of the UK and EU standards for nitrogen dioxide – this is called the Air Quality Management Area (AQMA). This covers the city centre, central residential areas and main roads. Approximately 100,000 people live in this area and many more study, work and travel through this area.

Air pollution affects the whole of the city and health impacts from poor air quality will be experienced outside the AQMA.

The figure below shows the fraction of deaths (%) attributable to nitrogen dioxide in Bristol wards in 2013.



## 1. Impacts of Charging Zones

No UK city has yet introduced a clean air zone with charges so we do not have direct experience of the impacts. However it is reasonable to assume that households on low income that are required to pay a charge may be negatively impacted, and this may have impacts on life chances and health.

The Government undertook an assessment of the impacts of implementing Clean Air Zones in 5 cities it instructed to do so in 2016. [https://consult.defra.gov.uk/airquality/implementation-of-cazs/supporting\\_documents/161012%20%20CAZ%20Impact%20Assessment%20%20FINAL%20consultation.pdf](https://consult.defra.gov.uk/airquality/implementation-of-cazs/supporting_documents/161012%20%20CAZ%20Impact%20Assessment%20%20FINAL%20consultation.pdf)

## 2. Impacts of Other Measures

This is a wide group of measures which broadly make it easier to walk, cycle or use public transport and more difficult to use the private car and encourage the conversion from more polluting vehicles to less polluting equivalents.

There is a significant body of evidence on the health effects of many of these measures but this is rarely related to protected characteristics.

2.2 Who is missing? Are there any gaps in the data?

There is a high level of uncertainty about the impacts at this screening stage, but the key areas of likely impact have been identified. The detailed distributional impact analysis will take place at the Outline Business Case stage in accordance with the Options Appraisal guidance.

2.3 How have we involved, or will we involve, communities and groups that could be affected?

A full engagement programme is being designed and planned with our framework consultants to ensure that people in the West of England region understand the air quality problem and the potential solutions. We will build on our existing relationships with local universities, WECA, community groups and the Green Capital Partnership to plan activities and communications that reach all relevant communities. We will engage with particular equalities groups including BME, age and disability to understand the likely impacts on people with protected characteristics.

When a preferred scheme is identified through the Outline Business Case, we will fully consult in line with BCC and government policy.



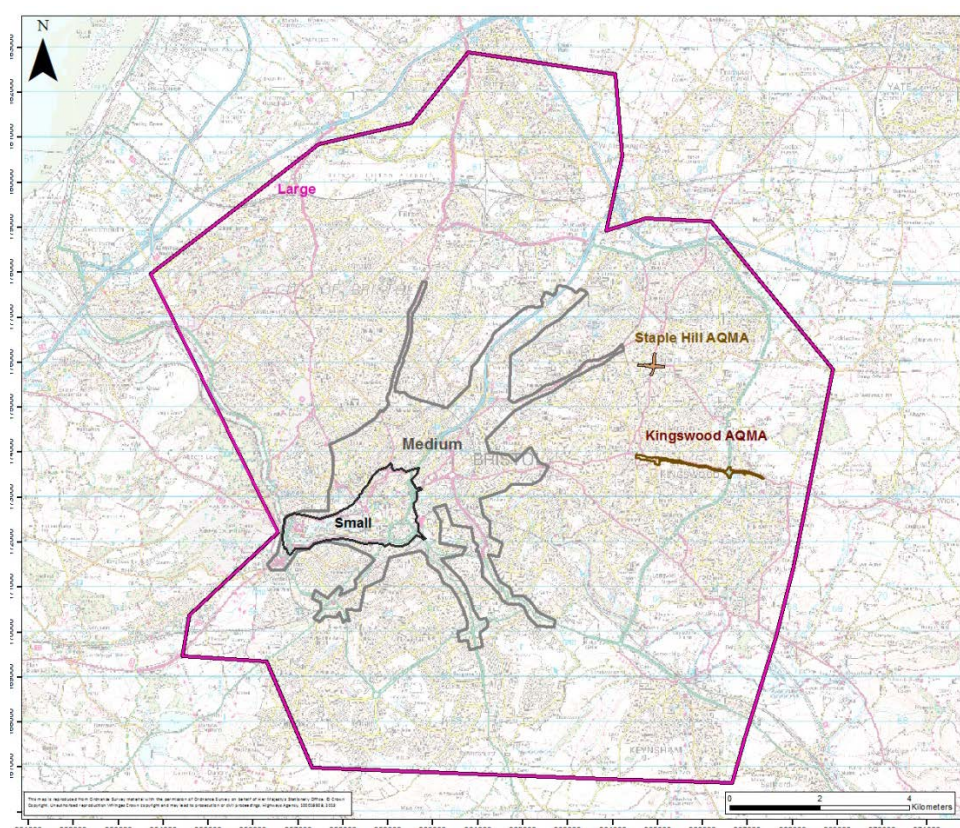
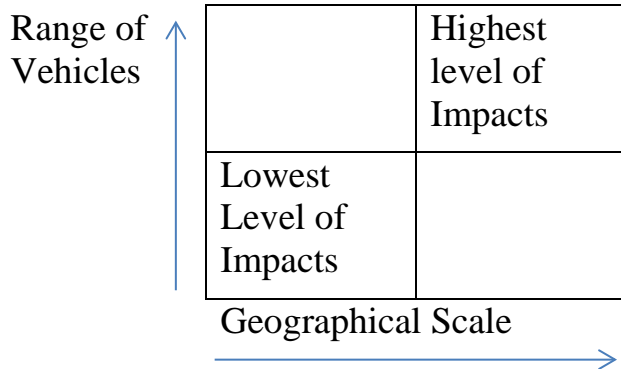
### Step 3: Who might the proposal impact?

Analysis of impacts on people with protected characteristics must be rigorous. Please demonstrate your analysis of any impacts in this section, referring to all of the equalities groups as defined in the Equality Act 2010.

3.1 Does the proposal have any potentially adverse impacts on people with protected characteristics?

#### Charging Clean Air Zone

The scale of the adverse impacts is related to the scope (class) of vehicles included and area of the zone.



### Classes of vehicle liable for charging Clean Air Zones

Clean Air Zone class	Vehicles included
A	Buses, coaches and taxis <sup>23</sup>
B	Buses, coaches, taxis and heavy goods vehicles (HGVs)
C	Buses, coaches, taxis, HGVs and light goods vehicles (LGVs)
D	Buses, coaches, taxis, HGVs, LGVs and cars

### Vehicles exempt from charging in a Clean Air Zone

Vehicle type	NO <sub>x</sub> Emissions limit
Bus/coaches	Euro VI
HGV	Euro VI
Van (1305-3500kg)	Euro 6 (diesel) Euro 4 (petrol)
Car/light commercial (up to 1305kg)	Euro 6 (diesel) Euro 4 (petrol)

Charging may have the following impacts:

- Buses – it is unknown whether there will be any change in ticket prices and in drawing up the Clean Air Zone Framework the Government concluded that this was unlikely.
- Taxis – fares are regulated and it is unlikely that the fares would change but costs to operators of vehicles subject to a charge would rise.
- HGVs and Vans – these are primarily operated by businesses and costs would be absorbed or passed to customers but unlikely to have any impacts on groups with protected characteristics.
- Cars – the charges would particularly impact on older cars which are more likely to be owned by people on lower incomes, and these may correlate with some equalities groups such as older people, and may also disproportionately affect those people who need to use a car more, such as disabled people. However we also note that DfT data shows that 50% of low income households do not have access to a car and 62% of the lowest quintile do not have access to a car.

### Decision to include CAZ Options

Four CAZ options are proposed for further study and include small and medium zones charging either all vehicles including cars or all vehicles excluding cars. The equalities impact of these proposals will be considered in more detail in the next stage of the study.



## **Decision to exclude Options from Further Study**

The analysis of the options has considered their ability to achieve improvements in air quality sufficient to achieve compliance with the nitrogen dioxide standards in the “shortest possible time” as we are required to by Direction from the Secretary of State for the Environment.

The options which only included Buses, Taxis and HGVs are not predicted to deliver compliance in the shortest possible time, and therefore have been excluded from further consideration.

The options for the large area zone (approximately the whole urban area) were excluded because it would take a longer time to implement than other options considered and therefore would not achieve compliance in the shortest possible time. The achievement of compliance in the shortest possible time is defined as a primary “Critical Success Factor” according to government guidance. This means that any options that fail the test of compliance in the shortest possible time must be excluded from our analysis.

The large zone therefore does not meet the objectives of the project, the requirements of the CAZ framework in regard to proportionality and the statutory Direction placed on the city council.

However, it has been suggested that the Large Zone would improve air quality more generally in the longer term and therefore improve public health more than simply achieving compliance with the legal standards. It is therefore worth considering whether this would represent a better outcome overall.

The principal adverse effect of the charging zone will be to increase the costs of travel in older cars, and potentially on public transport and businesses. Households on low incomes are most susceptible to an increase in costs as they tend to drive older cars and therefore we have examined the impacts of a charging zone on low income households.

People who drive cars that are liable to a charge will have three options:

- Change their car for a vehicle that is not charged
- Change the mode of a particular journey – bus, cycle etc
- Avoid the charging zone by not making the journey or changing the route

As the size of the zone increases the more people will be affected, either because their home or destination is within the zone, or because they cannot take an alternative route to it. Approximately 6 times as many people live in the

large zone and an estimated 50% of the journeys in the city only occur within the large zone. Thus increasing the size of zone from medium to large would increase the impact on low income households by several times. In particular as many low income households living in outer suburban areas of the city who may drive infrequently into the city centre would be liable to the charge every day they drove their cars, even if they were doing relatively short journeys in relatively unpolluted areas, for example a school run.

**Decision to exclude Other Options from the shortlist**

The long list of possible interventions to improve air quality were considered and assessed as to whether they could contribute to achieving compliance in the shortest possible time as this is the objective of the project and the basis of future government funding for the implementation of the Clean Air Plan.

3.2 Can these impacts be mitigated or justified? If so, how?

**Decision to exclude Large Options from Further Study**

<b>Negative Effects:</b>	<b>Positive Effects:</b>
<ul style="list-style-type: none"> <li>• Reduction in the long term city wide improvements in Air Quality</li> </ul>	<ul style="list-style-type: none"> <li>• Faster improvements in Air Quality in the most polluted areas by implementation of a medium zone</li> <li>• Fewer people and businesses are subject to the adverse impacts of charging vehicles</li> </ul>

On balance we conclude that the negative effects of the large zones are offset by the positive effects.

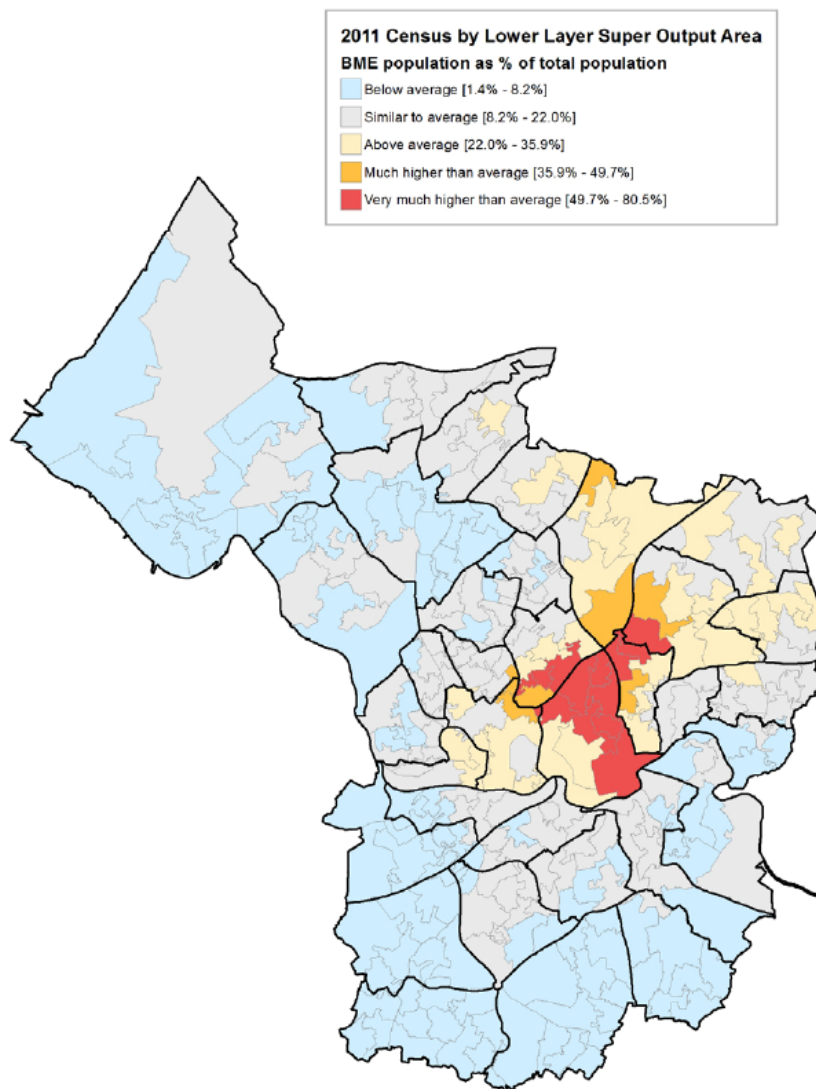
We will consider mitigation of distributional impacts, including on lower income households and businesses at the outline Business Case stage. The government has identified a £220m Clean Air Fund to help authorities mitigate impacts of air quality plans and Bristol has, and will continue to, bid for funding to ensure that people are protected as far as possible from the negative impacts of charging schemes or other interventions.

3.3 Does the proposal create any benefits for people with protected characteristics?

Considering air pollution in relation to protected characteristics:

- BME people make up a larger proportion of the population living in the more polluted areas – the AQMA - than the city as a whole and therefore it is reasonable to assume that the BME population experiences greater exposure to air pollution. Hence successful interventions to improve air quality will improve

the citywide health of BME communities relative to non BME citizens.



- Age – some age groups of people, the very young and older people, are more likely to be vulnerable to air pollution. Their relative geographical distribution is not strongly aligned to polluted areas or potential charging zones.
- Disability – some people, for example, if they have breathing difficulties are more vulnerable to air pollution.
- Other characteristics are not considered to be differentially exposed or vulnerable to air pollution.

Our conclusion therefore is that improving air quality to meet the legal standards for nitrogen dioxide is likely to be beneficial to the whole population with more positive impacts on BME people, children, older people and people with breathing conditions. It is not likely to have a negative impact on any group of people with protected characteristics, though this will be fully assessed at the next stage of analysis.

3.4 Can they be maximised? If so, how?

The benefits can be maximised by achieving compliance in the shortest possible time. The shortlisted options aim to do this.

Consideration should also be given to whether, in achieving compliance in the shortest possible time, wider improvements in air quality can be delivered in areas that are already compliant but still experience health impacts from air pollution.

**Step 4: So what?**

The Equality Impact Assessment must be able to influence the proposal and decision. This section asks how your understanding of impacts on people with protected characteristics has influenced your proposal, and how the findings of your Equality Impact Assessment can be measured going forward.

4.1 How has the equality impact assessment informed or changed the proposal?

- It has tested whether we should include or exclude a large zone from further study.
- It has identified the issues which we need to consider the next stage of the study.

4.2 What actions have been identified going forward?

The shortlisted options will be tested in detail through modelling approaches. A full distributional impact analysis will be conducted in line with the government's Options Appraisal guidance for this project.

4.3 How will the impact of your proposal and actions be measured moving forward?

The guidance referenced above requires assessment of air quality, affordability and accessibility as a minimum and prescribes the way these should be measured. We will follow this guidance.

Service Director Sign-Off:

Equalities Officer Sign Off:



Duncan Fleming

Date:

Date: 9<sup>th</sup> February 2018

## Appendix F: Summary of Eco impact assessment

The decision being taken is to undertake a feasibility study and develop a Clean Air Plan. The study will consider the impacts of the implementation of the action plan and provide that information for decision makers. Environmental assessment of the proposed measure is an intrinsic component of the scheme. Any decision to implement proposals in the Clean Air Action Plan will be subject to a separate decision and eco-impact assessment.

### Summary of impacts and Mitigation

*The significant impacts of this proposal are...*

This proposal seeks approval to complete the development of a Clean Air Plan, with appropriate engagement and consultation. The purpose of the plan is to reduce nitrogen dioxide pollution levels within the city, following central government direction to develop plans to comply with the EU Limit Value and UK Objective. It provides for highly significant long-term benefits, in particular improved public health and compliance with national obligations.

The proposals include the following measures to mitigate the impacts:

The proposal is not seeking to implement any specific measures, as these will be subject to separate approval following completion of the plan.

Direct impacts related to the proposal are limited and are not considered to be significant, so no mitigation measures are proposed.

There will be some direct effects arising from the implementation of the Wedmore Vale cycle scheme but this has already received planning permission and those impacts have been considered. The details of the taxi scheme are not yet well enough understood to be able to assess.

**The net effects of the proposals are positive**

### Checklist completed by:

Name:	Steve Ransom
Dept.:	Energy Service
Extension:	X24659
Date:	20/02/2017
Verified by	Environmental Performance Team

## Appendix H: Legal Advice

Cabinet is being to ask to approve (i) the expenditure of additional funding to be secured from Defra for the development of the Clean Air Action Plan, (ii) the outcome of the initial feasibility study identifying measures for further study (**'Strategic Outline Case'**) and (iii) plans for public engagement and consultation.

The above approvals are sought in order to secure compliance with the Minister's Direction of 27 July 2017 (**"Direction"**), requiring specified local authorities including the Council in whose areas EU air quality limit values are currently being exceeded, to identify the option(s) which would deliver compliance with legal limits for nitrogen dioxide (NO<sub>2</sub>) and particulate matter in the Council's area, in the shortest possible time, reflecting legal duties on central and local government imposed by European law (Air Quality Directive 2008/50), section 85(5) of the Environment Act 1995, and in England the Air Quality Standards Regulations 2010, and the duties on local authorities (**"legal test"**) set out in the High Court case of ClientEarth (No.2) v. Secretary of State for the Environment, Food and Rural Affairs [2016] EWHC 2740 (Admin) and referred to in the subsequent High Court Case of ClientEarth (No.3)v Secretary of State for the Environment, Food and Rural Affairs (1) Secretary of State for Transport (2) and Welsh Ministers (3) and Mayor of London (Interested Party) [2018] EWHC315 (Admin).

Failure by the Council to comply with the Direction and meet its legal obligations in relation to improving air quality and protect public health, would carry the risk of challenge from third parties and incur possible financial penalties. Additionally, failure by the Council to identify appropriate measures which would secure compliance with reduction in legal limits for NO<sub>2</sub> and particulate matter could carry the risk of challenge by judicial review.

The Council could mitigate the above risks by ensuring that funding is secured from the Department for Environment, Food and Rural Affairs (Defra) for the development of an appropriate an effective CAA Plan, the carrying out of a further feasibility study of the most effective and fastest options for compliance, formulation of plans for public engagement and consultation, adherence to the guidance issued by Defra in relation to compliance with the Direction and ensuring that the legal test in the ClientEarth case is applied by the Council in respect of its consideration and decisions relating the development and implementation of the CAA Plan.

Joanne Mansfield, Legal Services, Bristol City Council, 23.02.2018

## **Appendix I – Combined Background papers**

Bristol City Council

### **2017 Air Quality Annual Status Report**

In fulfilment of Part IV of the Environment Act 1995 Local Air Quality Management  
September, 2017

[www.bristol.gov.uk/airquality](http://www.bristol.gov.uk/airquality)

Bristol City Council

### **Bristol City Council Clean Air Plan: Strategic Outline Case**

[www.bristol.gov.uk/airquality](http://www.bristol.gov.uk/airquality)

## Decision pathway – Report Format

<b>Title:</b> Airport Road and change request for LEP LGF allocation	
<b>Ward(s):</b>	Brislington West, Filwood, Hengrove & Whitchuch Park, and Knowle
<b>Author:</b> Steve Riley	<b>Job title:</b> Project Manager
<b>Cabinet lead:</b> Cllr Threlfall	<b>Director lead:</b> Peter Mann
<b>Proposal origin:</b> BCC Staff	
<b>Decision maker:</b> Mayor <b>Decision forum:</b> Cabinet	
<b>Timescales:</b> A project that will run until May 2019, design to commence immediately with construction beginning in September/ October 2018.	
<p><b>Purpose of Report: Key Decision:</b> A change request to the West of England Combined Authority (WECA) has been approved to re-allocate £790k of Local Growth Fund (LGF) grant from the 2016-18 sustainable transport programme (expenditure approved by Cabinet, 7 March 2017) and to bring forward an additional sum of £1.04m from the LGF 2018-20 programme to allow completion of a comprehensive scheme on Airport Road (approved at WECA Committee, 2 February 2018).</p> <p>The scheme would comprise carriageway re-surfacing, incorporating significant additional cycle path construction and enabling works to create new entrance junctions for development sites, by combining funds from LGF and the successful bid to the Government's Challenge Fund (expenditure approved at Cabinet, 15 August 2017).</p>	
<p><b>Evidence Base:</b> If the specialist Challenge Fund maintenance work on Airport Road is completed, it will preclude the construction of a new cycle path and entrance junction(s) to proposed housing sites. With £790k of LGF available from another scheme that can no longer be completed within the funding window, and the opportunity to bring forward an additional £1.04m, the three schemes could be achieved under just one period of traffic management, thereby minimising disruption to traffic flows and the resultant impact on the local community, businesses, and public transport.</p> <p>The scheme no longer being completed is on Albert Road, which cannot be delivered by the grant-required deadline of March 2019.</p>	
<b>Cabinet Member / Officer Recommendations:</b> That, following the approval of the change request by the WECA Committee on 2 February 2018, authority be delegated to the Service Director of Transport to facilitate the relevant procurement of materials and associated expenditure required to implement the scheme.	

<b>Revenue Cost:</b> <b>Feasibility studies:</b> £75k	<b>Source of Revenue Funding:</b> DfT funding via LEP
<b>Capital Cost:</b> £ 1.830m	<b>Source of Capital Funding:</b> LEP LGF grant
<b>One off cost</b> <input checked="" type="checkbox"/> <b>Ongoing cost</b> <input type="checkbox"/>	<b>Saving Proposal</b> <input type="checkbox"/> <b>Income generation proposal</b> <input type="checkbox"/>
<p><b>Finance Advice:</b> This proposal seeks approval to submit (and to accept the grant if approved) a Local Growth Fund (LGF) grant reallocation request to the LEP in order to facilitate the necessary cycle lane works on Airport Road, for which the timing will coincide with other major infrastructure works on the same road (funded by a separate DfT Challenge Fund). This proposal aims at minimising disruption and the impact to the local community, businesses, traffic, and public transport.</p> <p>The LEP LGF funding request for delivering cycle infrastructure on Airport Road consists of the following:</p> <ol style="list-style-type: none"> <li>1) Due to the fact that the coach parking scheme on Albert Road can no longer be completed within</li> </ol>	



the originally agreed LGF funding window, this proposal seeks approval to reallocate £790k to the Airport Road scheme;

- 2) To allocate new funding of £1.04m from the remaining LGF funds earmarked for Bristol.

The table below illustrates the current funding allocation from the LGF. In effect, the request is to redirect £790k within the 17/18 allocation of £1.13m from Albert Road works to Airport Road cycle lane infrastructure and to allocate £1.04m from the £5.815m remaining funds available for the same purpose.

Local Growth Fund schemes £000's	Year granted ( <i>different to cash flow</i> )						TOTAL FUNDING	Funding Allocated	Funding Remaining	Split based on Population
	15/16	16/17	17/18	18/19	19/20	20/21				
GD1 Total	3,000	3,804	3,355	4,000	4,500	5,171	23,830	10,159	13,671	100%
B&NES	486	703	515				3,813	1,704	2,108	16%
BCC	1,214	1,372	1,130				9,532	3,717	5,815	40%
NS	550	707	510				4,528	1,767	2,760	19%
SG	750	1,021	1,200				5,958	2,971	2,987	25%

Furthermore DfT via LEP had previously provided an additional £75k grant funding for delivering feasibility studies on Airport Road Cycle Lane works, therefore together with the requests above, the total project funding for the works is estimated at £1.905m. These costs will incur in 17/18 (£81k), 18/19 (£942k) and 19/20 (£882k). The total project risk and contingency is included at £439k (30%). However it should be stressed that as the feasibility work has not yet been carried out, therefore the overall capital project contains a level of risk.

Please note, should the decision be made to progress the coach parking on Albert Road in the future, new funding for the sum of £790k will be identified, potentially through a further bid to the LEP LGF.

**Finance Business Partner:** Tian Ze Hao

**Date:** 01/02/2107

**Corporate Strategy alignment:**

Fair and Inclusive (facilitating access point(s) to new areas of housing development)  
Wellbeing (improved health and air quality through provision of improved cycling infrastructure and upgraded bus stops)  
Well Connected (increasing the lifespan of a major transport route).

**Legal Advice:** There are no specific legal implications arising as a result of the decision to request the LEP to re-allocate the LGF from the scheme that cannot be completed within the funding window. As noted in the report if the other scheme proceeds at some point in the future alternative funding will need to be found. If the bid is successful then procurement advice may be required in relation to works to be undertaken to Airport Road.

**Legal Team Leader:** Joanne Mansfield, 14 February 2018

**City Benefits:** This scheme would achieve a number of benefits, most directly: a new road surface with at least a 20-year life on the Airport Road carriageway (which reduces ongoing maintenance costs and disruption while facilitating travel to sites of employment and education from south Bristol); a new strategic cycle route along a major south Bristol artery (promoting sustainable modes of transport to improve air quality and personal health); and the facilitation of access to new housing sites. Less directly, the scheme also acts as part of the transport mitigation for the large Hengrove Park housing development.

**Consultation Details:** A first draft of the proposal was discussed with many of the local residents directly affected by the works around the Airport Road-Wells Road junction, who were broadly in favour.

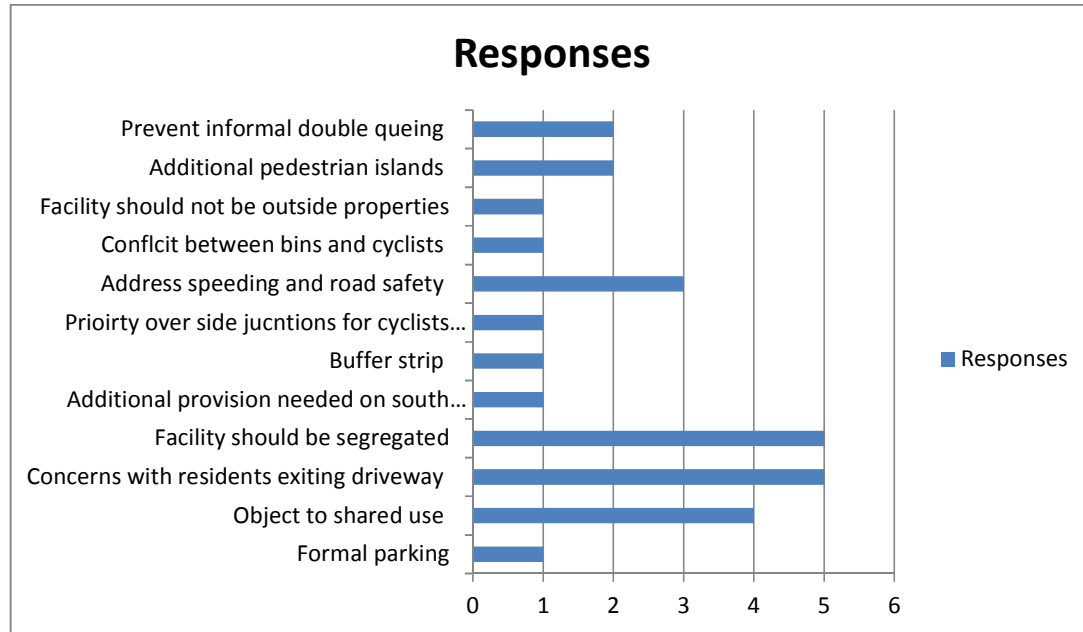
<b>DLT Sign-off</b>	Peter Mann	3 Jan 2018
<b>SLT Sign-off</b>	Denise Murray	9 Jan 2018
<b>Cabinet Member sign-off</b>	Cllr Threlfall	27 Nov 2017
<b>For Key Decisions - Mayor's Office sign-off</b>	Cllr Threlfall	29 Jan 2018

Appendix A – Further essential background / detail on the proposal	<b>NO</b>
Appendix B – Details of public consultation carried out	<b>YES</b>
Appendix C – Summary of any engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment	<b>YES</b>
Appendix E – Equalities screening assessment of proposal	<b>YES</b>
Appendix F – Eco-impact assessment of proposal	<b>YES</b>
Appendix G – Exempt Information	<b>NO</b>
Appendix H – Legal Advice	<b>NO</b>
Appendix I – Combined Background papers	<b>N/A</b>

## Airport Road Shared Footway Consultation Response.

A total of 9 responses were received

The themes expressed in the consultation responses have been summarised below.



Objection to shared use facilities, calls for separation between cyclists and pedestrians and concerns with residents exiting their driveways were the most common concerns. Followed by a request to reduce speeds and improve road safety on Airport Road.

We are now considering whether it is feasible to widen the current footway into the carriageway to provide a segregated facility, thereby reducing the carriageway width which could assist with reducing traffic speed and provide additional crossing facilities. Issues that we are now investigating include:

- Airport Road width around Cadogan Road junction due to popular the right turn lane.
- Response: the right turn lane will be retained and the pedestrian crossing is being upgraded as part of the A4-A4174 Challenge Fund project
- Capacity of Wells Road junction should the informal double queuing be prevented.
- Response: this is being investigated in line with the Challenge Fund project
- Provision of formal and informal crossing facilities.
- Response: in the vicinity of Wells Road, this issue could be dealt with through the action in the response above. Away from Wells Road, crossing points will be considered at each side road, including possible new housing site not yet constructed
- Design of a segregated facility outside of the properties near Wells Road.
- Response: there is insufficient space for a segregated route (only provided with widths of 3.5m or more). However, the recent use on South Bristol Link of informal cycle markings on the carriageway side of the path – i.e. away from the exits of the driveways – will be considered

- Safety camera.
- Response: this request has been shared with colleagues in Road Safety for their consideration
- Scheme costs.

# Risk Register

Project Name: A4-A4174 Challenge Fund

Project ID: P15104

Project Manager: Steve Riley

**Key:** Type: C (Construction); D (Design); E (Environmental); F (Financial); M (Management); P (Political); O (Operational); T (Technical); U (Utilities)

**Probability:** 1 (very unlikely); 2 (unlikely); 3 (equally likely/unlikely); 4 (likely); 5 (very likely)

**Impact:** 1 (very low); 2 (low); 3 (medium); 4 (high); 5 (very high)

**Priority:** 1-3 (very low); 4-6 (low); 7-9 (medium); 10-12 (high); 13-25 (very high)

Risk ID	Type	Description	Original			Mitigation	Probability	Impact	Priority
			Probability	Impact	Priority				
R001	C (Construction)	If the winter is colder or wetter than suits highway resurfacing, the spend profile may not be achieved	3	3	9	Programme works requiring driest and warmest weather in March 2018 or later	2	3	6
R002	O (Operational)	If local media adopt a negative stance to the scheme, media enquiries and public complaints could occupy officer time	3	2	6	Clear communications strategy, early media engagement, use supportive members and businesses	2	2	4
R003	O (Operational)	If noise pollution objections are raised by residents as a result of construction vehicles and methods, public complaints could occupy officer time	3	3	9	Define hours of operation and use of plant. Ensure proper engagement with affected parties. Early contractor involvement.	2	3	6
R004	M (Management)	If there is any difficulty or failure to secure local contribution funding, there could be damage in achieving the project benefits	2	4	8	Section 151 Officer sign-off of bid. Secure formal letter of funding contributions. Secure S106 commitment through finance officers	1	3	3
R005	O (Operational)	If unforeseen adverse impact on general traffic occur during construction, there will be reputational damage and officer time spent on responding to complaints	2	3	6	Discuss requirements with public, stakeholders, traffic managers, evaluate and model requirements. Re-programme or combine other programmed works.	1	3	3
R006	P (Political)	If a decision on integrating the Challenge Fund and a possible Local Growth Fund cycling scheme on Airport Road cannot be reached, doubts over the spend profile and construction phase will remain	3	4	12	Seek Cabinet Member or Mayor to approach LEP to see if assurances on availability of LGF funding can be established; DfT confirmation of spend deadline of March 2019 provides additional flexibility	3	3	9
R007	M (Management)	If the DfT make a media story out of final grant payments in January 2018, neither authority will have made significant progress on the ground which could be a reputational concerns	2	3	6	Programme can be used to show works will be done when weather conditions are likely to be more favourable, and that the authorities have worked together to reduce possible impacts	2	2	4
R008	M (Management)	The requirement of the project finances being audited by September 2018 for a letter to DfT could be a significant use of staff time and cause disagreements with internal audit teams if not booked early	2	3	6	Alert relevant finance and internal audit contacts well in advance, provide information early	2	2	4
R009	C (Construction)	If tar-bound material is found in the existing carriageway construction of the A4 and/ or A4174, construction could be delayed and costs increased	3	4	12	Carry out cores to that as full information as possible is available before going to site; consider sharing the new BCC framework to obtain a Foam Mix provider for the whole project in one go	2	3	6

## Bristol City Council Equality Impact Relevance Check



This tool will identify the equalities relevance of a proposal, and establish whether a full Equality Impact Assessment will be required. Please read the guidance prior to completing this relevance check.

<b>What is the proposal?</b>	
Name of proposal	A4-A4174 Challenge Fund with LGF Airport Road cycle path
Please outline the proposal.	Major maintenance of the A4 (Bath Road) and A4174 corridor, with expansion to construct a cycle path with LGF funding alongside the deeper repair on the Airport Road section of the A4174.
What savings will this proposal achieve?	By reducing expensive and disruptive reactive maintenance over a number of years (impossible to exactly quantify), this project produces a positive Cost-Benefit Ratio of 1:7.9 (Challenge Fund only).
Name of Lead Officer	Steve Riley, Project Manager

<b>Could your proposal impact citizens with protected characteristics?</b> (This includes service users and the wider community)
Please outline where there may be significant opportunities or positive impacts, and for whom.
<p>Everyone – those with and without protected characteristics – who work or live in, or pass through, the area will benefit.</p> <p>Those accessing the area by car will use a road with no serious defects, as at present, and without regular closure or part closure for future reactive maintenance.</p> <p>Bus users will benefit from 4 new bus stops being constructed in association with this project, including raised kerbs for easier access and ‘safe haven’ paving. These will provide improved actual and perceived safety/ security for public transport users, a known issue for some citizens with protected characteristics, including women, elderly people, and disabled people.</p> <p>Pedestrians and cyclists will see improvements through the widening of a 1m-wide footpath to a 3m-wide shared-use path from Creswicke Road to Wells Road, then linking to the Wootton Park to Tesco section being created by Challenge Fund.</p>

Please outline where there may be significant negative impacts, and for whom.

The only issue that is a known concern among some citizens with protected characteristics – some disabled people, especially those with impaired vision and mobility – is the provision of a shared-use path without segregation between cyclists and pedestrians. When the housing development planned for the land north of Airport Road is brought forward, this shared-use path will become a two-way cycle facility with a new pedestrian route to be provided behind a new verge with trees.

There could be significant short-term disruption during construction – including lane closures and weight restrictions – that will affect all citizens, with and without protected characteristics.

**Could your proposal impact staff with protected characteristics?**

(i.e. reduction in posts, changes to working hours or locations, changes in pay)

Please outline where there may be significant opportunities or positive impacts, and for whom.

This proposal does not affect BCC staff unless they are present in the area as private citizens (in which case, see above).

Please outline where there may be negative impacts, and for whom.

This proposal does not affect BCC staff unless they are present in the area as private citizens (in which case, see above).

**Is a full Equality Impact Assessment required?**

Does the proposal have the potential to impact on people with protected characteristics in the following ways:

- access to or participation in a service,
- levels of representation in our workforce, or
- reducing quality of life (i.e. health, education, standard of living) ?



Please indicate yes or no. If the answer is yes then a full impact assessment must be carried out. If the answer is no, please provide a justification.

No.

The project will have a beneficial impact for the first two categories, through the improvement of the route as a means of accessing job opportunities by car, bike, and via the upgraded bus stops.

The only potential issue identified, the shared-use path, will be mitigated in the following ways:



	<ol style="list-style-type: none"> <li>1. The shared-use path will not simply be the re-designation of an existing pavement; the path will be widened to 3m minimum or 4m where possible.</li> <li>2. There will be a benefit to people already feeling at risk from cyclists illegally using the current narrower footpath.</li> <li>3. The shared nature of the facility is foreseen as a temporary situation (see above).</li> </ol> <p>As well as the mitigation for the possible negative impact, a number of positive impacts are also listed above.</p>
<p>Service Director sign-off and date:</p>  <p>Peter Mann 21<sup>st</sup> February 2018</p>	<p>Equalities Officer sign-off and date:</p>  <p>Duncan Fleming - 21 February 2018</p>

## Eco Impact Checklist

<b>Title of report: A4-A4174 Challenge Fund maintenance and cycle path</b>				
<b>Report author: Steve Riley</b>				
<b>Anticipated date of key decision: Cabinet, 6 March 2018</b>				
<b>Summary of proposals:</b> Major maintenance of the A4 (Bath Road) and A4174 corridor, with expansion to construct a 3m shared-use path with LGF funding alongside the deeper repair on the Airport Road section of the A4174. By reducing expensive and disruptive reactive maintenance over a number of years (impossible to exactly quantify), this project produces a positive Cost-Benefit Ratio of 1:7.9 (Challenge Fund only).				
Will the proposal impact on...	Yes/ No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	Y	+ve	The new road surface will promote smoother and more efficient journeys and reduce the need for future maintenance and traffic management measures; the provision of a new/ improved walking and cycling facility will encourage increased use of sustainable travel choices.	
Bristol's resilience to the effects of climate change?	Y	+ve	As above, road journeys will see reduced disruption in the future, while the new sustainable facility will discourage additional car trips and aid in the mitigation of housing proposals in the area.	
Consumption of non-renewable resources?	Y	+ve	More use of sustainable transport.	Use sustainable procurement practices for resources needed for the
		-ve	Construction activities will involve the use of resources.	

				project.
Production, recycling or disposal of waste	Y	-ve	The old highway being replaced may contain contaminated material (tar). Construction activities will generate waste.	Sample cores of the road have been ordered to assess this possibility. In small quantities, the contractor will remove the material to an approved disposal site; in larger quantities, it can be recycled and reused in the new base layers. Ensure the waste hierarchy is applied throughout the project. Ensure waste is disposed of correctly and legally.
The appearance of the city?	Y	+ve	The reconstruction of the carriageway will result in a new uniform surface with no patches from historical repairs or access by utility companies; this will be retained through a s58 agreement to limit non-emergency access for five years after completion.	
Pollution to land, water, or air?	Y	-ve	It is considered possible that the verge to the north of Airport Road contains asbestos in the form of pre-fab housing that was destroyed several decades ago and capped with concrete.	Trial pits will be dug to ascertain whether asbestos is present; if so, a safe and suitable method of disposal will be agreed with BCC Pollution Control.
		+ve		Construction team will need to be aware of Brislington Brook wildlife corridor that is in close proximity to Airport Road and ensure waste is contained and controlled to not pollute the area.

		+ve	<p>Works to the structure of the road have been identified as necessary works, the proposal to combine cycle path construction means that the road will be closed for less time meaning congestion and air quality impacts will be significantly lowered.</p> <p>When completed the proposed works should reduce traffic congestion and increase sustainable transport use which will improve air quality in the area.</p>	
Wildlife and habitats?	Y	+ve	The verge to the north of Airport Road is identified as a wildlife corridor, and this land will be protected by widening the new shared-use path into the carriageway rather than the verge.	

**Consulted with:** Local ward members and affected frontagers, all of whom support the proposals (in transport terms).

**Summary of impacts and Mitigation - to go into the main Cabinet/ Council Report**

The significant impacts of this proposal are the positive provision of new sustainable transport infrastructure while allowing motorised vehicle journeys to be made more efficiently and protecting an existing wildlife corridor. Proposals to combine road surface works and cycle path construction works will reduce construction duration meaning that congestion and air quality impacts of the overall works will be significantly lowered.

The proposals include the following measures to mitigate the impacts: recycling of any contaminated (tar-bound) material encountered (if in suitable quantities); safe disposal of asbestos-containing material (if encountered).

The net effects of the proposals are positive.

<b>Checklist completed by:</b>	
Name:	Steve Riley
Dept.:	Strategic City Transport
Extension:	36715
Date:	13 December 2017
Verified by Environmental Performance Team	Nicola Hares, 7 February 2018

**MEETING: Cabinet DATE: 06/03/2018**

<b>Title: Mobile Working for Social Care Teams</b>	
<b>Ward(s):</b>	Citywide – all wards
<b>Author:</b>	Kate Broadbridge
<b>Job title:</b>	Project Manager
<b>Cabinet lead:</b>	Helen Holland/ Helen Godwin
<b>Director lead:</b>	Terry Dafter / Jacqui Jenson
<b>Proposal origin:</b> <i>BCC Staff</i>	
<b>Decision maker:</b> Mayor	
<b>Decision forum:</b> <i>Cabinet</i>	
<b>Purpose of Report:</b>	
The report asks Council to :-	
<ul style="list-style-type: none"> <li>• Approve piloting, purchase and rollout of the “best fit” mobile technology for Social Care teams to enable them to do their jobs more effectively. This will include tablets, mobile phones and mobile applications for the Social Care ICT systems. The cost for the project will be within the amount identified on the attached spreadsheet.</li> </ul>	
<b>Evidence Base:</b>	
Transformation programmes for children and adult social care are included within the Corporate Strategy and Budget Consultation 2018-2023. Both the children’s ‘Strengthening Families’ and the adult’s ‘Better Lives’ programmes have ambitious savings targets to deliver. Implementing mobile technology and agile working for this large workforce is a key enabler for savings delivery and improved outcomes for service users for both programmes. There are no cashable savings contained within this proposal.	
The problems we are trying to solve fall in the following broad areas across the Social Care teams impacting approx. 500 Social Workers and 200 Intermediate Team colleagues.	
<ul style="list-style-type: none"> <li>• Mobile Social Care colleagues have low spec mobile phones with no access to calendar, emails or usable texting to contact colleagues.</li> <li>• Mobile workers who are out of the office base for up to 60% of the time have no remote connection to data held in ICT systems. This means they have no access to data while they are with clients and no means of updating information until they are back at the office. There is a heavy reliance on paper recording, printing and many repeat visits to achieve tasks where information is needed. Hand written notes all need to be “typed up” creating an enormous “admin” burden on stretched and busy Social Care colleagues.</li> <li>• Intermediate Care teams print and hand deliver schedules of visits because they have no real time, mobile access to the Roster ICT system.</li> <li>• The negative impact of all of the above is             <ul style="list-style-type: none"> <li>○ reduced efficiency</li> <li>○ reduced client facing work</li> <li>○ reductions in timely record keeping</li> </ul> </li> </ul>	
The future state we are working towards is described here.	
<ul style="list-style-type: none"> <li>• The Council has committed itself to reducing spend on social care and adopting an enabling model to connect citizens with the “whole world of resources”. Technology will enable this. On a practical level it will enable Social Care teams to use the internet to show citizens resources across the region or in their own neighbourhood. They are not able to do this at the moment.</li> <li>• Technology has moved on. We want our social care teams to be able to work “on the go” where possible, making the best use of their time and making sure they are not tethered to the office base. This means having access to information – calendar, emails, instant messaging to colleagues, an ability to see and record information directly onto BCC ICT systems without the need for paper, printing, multiple visits and double recording. Mobile applications are available for Liquid Logic and Staff Plan Roster – the right devices are needed to make use of them. This means investment in technology and changes in working practices.</li> <li>• We want to harness the opportunity offered by technology to carry out direct work with service users-including children, enabling electronic signatures, and to take and store photos securely.</li> </ul>	

**Cabinet Member / Officer Recommendations:**

- That delegated authority is given to the Head of Service (South/ Hospitals – Adult Care Support and Chair of the Governance Board) to pilot, purchase and rollout the “best fit” mobile technology for Social Care teams to enable them to do their jobs more effectively.
- That approval is given to spend within the parameters of the summary spreadsheet attached (Total value - Capital £912,409 and a recurring revenue cost of £186,763) to achieve this service improvement work.
- To note that the Governance Board will have responsibility for ensuring that the right devices are bought, that mobile applications work and that the culture and working practices develop to harness the potential of the technology.

<b>Net Revenue Cost: £186,763 per annum</b> <b>This amount is split across Adult Social Care and Childrens Social Care as follows:</b> <b>£103,189 (Adults – per annum new costs)</b> <b>£83,574 (Childrens – per annum new costs)</b>	<b>Source of Revenue Funding:</b> Revenue budgets need to be established for both – Adults and Childrens
<b>Total Capital Cost: £912,409</b> <b>This amount is split across Adult Social Care and Children’s Social Care as follows:</b> <b>£499,881 (Adults over 4 years)</b> <b>£412,528 (Childrens over 4 years)</b>  <b>Opportunity cost: £11,750 (Strategic Windows 10 upgrade)</b>	<b>Source of Capital Funding:</b> Adults Capital Programme + BCC Innovation Fund
<b>One off cost <input checked="" type="checkbox"/> Ongoing cost <input checked="" type="checkbox"/></b>	<b>Saving Proposal <input type="checkbox"/> Income generation proposal <input type="checkbox"/></b>

**Finance Advice:** The proposals aim to modernise the working practices of Bristol Social Workers with the introduction of better technology.

The costs have been driven by the compatibility of the software and the needs of the service. Liquid Logic’s product is only available on a tablet, so that ruled out alternatives. Likewise, the choice of phones was limited by those which could be supported corporately – either a basic phone or an i-phone. Costs have been challenged (eg whether £875 for a tablet was good vfm) and defended, so the costs are accepted as presented. The difference in cost between the two options relates to whether the phone is a basic one or a smart-phone. The investment required and differential is significant: for Children’s Social Care £412k v £369k and for Adults Social Care £500k v £419k. The net ongoing annual revenue costs under both options are the same, for Adults this is £103k and for Children’s this is £84k. So, in terms of investment there is a £90k difference between the options. On cost alone you would choose Option B (Basic phone and tablet), but the issue is whether the Option B would deliver produce the stepped increase in performance compared to Option A.

New revenue budgets will be required for both Adults and Children’s to fund ongoing costs. These additional costs will be met from the planned savings contained within Adults and Children’s transformation programmes.

The level of savings delivered by implementing either option A or B are relatively small, amounting to £37k per annum under option A or £21k per annum under option B. Notably, the business case asserts that there are no savings from switching 500+ staff members from standard issue laptops to tablets other than no longer requiring Vasco tokens. It is difficult to see that the organisation does not benefit somehow from this arrangement, either through being able to have a bigger pool of laptops, thus delaying renewal times, or through needing to renew fewer laptops over time. For both sets of social care workers these initiatives are enablers to produce more efficient and effective ways of working. They may help productivity and the streamlining of processes which may indirectly facilitate cashable savings, but the introduction of new technology is essentially in the non-cashable savings category.



Provision for loss/ damage has been included in current costings at a rate of 15% over the 4 year lifespan of the devices (3.75% per annum). It is intended that this budget is held by the Service Director and is reviewed annually.

**Finance Business Partner:** David Tully & Neil Sinclair

**Corporate Strategy alignment:**

This project aligns with these themes in the Corporate Strategy:

**Empowering and Caring:**

Work with the city to empower communities and individuals, increase independence and support those who need it.

Be great corporate parents and safeguard children and vulnerable adults, protecting them from exploitation or harm

**Well Connected –**

Reduce social isolation and help connect individuals and communities socially Improve physical and geographical connectivity

**Belonging:**

Develop political connectivity locally, nationally and globally to benefit Bristol, involving people and influencing decisions which affect us.

Providing Social Care teams with effective technology aims to:

- Increase the amount of time our colleagues have for citizen facing work by offering efficient mobile working
- Reduce the time our colleagues have in travel and office work by increasing work they can do “on the go” as much as is possible
- Provide internet access to allow colleagues to show citizens information about services and links available in their community – offering them options, choices, independence and support
- Give colleagues the tools to connect citizens with others – either geographically nearby or with others experiencing similar challenges – thereby reducing isolation
- Allow direct work with children using an electronic format that many of them are comfortable with and empower them with a tools they can use to reflect on their own lives
- Support corporate parenting through secure and caring “Lifestory” work including photos
- Support Intermediate Care Teams to provide a timely, efficient service to people who are leaving hospital or who need short term reablement work in their homes.

**Legal Advice:** Whenever the Council procures goods or services whose value is over £180k, it must comply with the Public Contracts Regulations 2015 (“the Regulations”). Under the Regulations, a compliant tender process must be carried out unless an exemption is available.

If the value is between £15 and £180k, then the Council’s procurement rules must be complied with. Under these Rules, 3 quotes must be sought unless grounds for granting a waiver exist.

Legal advice will be needed to advise for each purchase of hardware and software detailed in this report, regarding whether a tender is needed or whether an exemption is available. ICT procurement have been provided with more detail on the contracts that will be needed and we refer you to Sarah Boston’s comments in the full business case on these.

Under the current working arrangements, social workers access personal data outside the office environment by reference to hard copies. This presents a risk of data protection breach. If the project is implemented, this will mitigate that risk but further work with the Council’s Data Protection Officer will be needed to ensure that all of the risks are identified and mitigated in the new system.

**Legal Team Leader:** Sinead Wills, Commercial and Governance Team Leader, I confirm I have provided comments on the report provided to me on 5 February 2018

**Implications on ICT:** IT are fully supportive of initiatives to provide the appropriate tools for the job for services and have been engaged with this project. The project will need to ensure that the deployment approach and timings, as well as the support implications are considered and implemented as part of the project deployment.

**ICT Team Leader:** Ian Gale – Service Manager – ICT Service Delivery and Integration

**City Benefits:**

- Increased provision of information and options enables people to make choices about their lives
- Increased information about resources that are available in the local neighbourhood supports healthy, sustainable communities and connections between people which we know improves wellbeing
- Children who are the subject of corporate parenting can be supported through strong lifestory work – valuing their experience and creating a secure memory bank that will be safe for their entire lives
- Vulnerable people who are supported by the Social Care teams will have a record of decisions made in their best interest and, where possible, this will include their own voice.
- Citizens will be supported to get the help they need in their own home through use of modern efficient ICT systems and joined up working

**Consultation Details:** There has been significant engagement with internal staff and managers - this will continue as the project moves into a pilot stage

<b>DLT Sign-off</b>	Jacqui Jenson	20/12/17
<b>SLT Sign-off</b>	Jacqui Jenson	19/12/17
<b>Cabinet Member sign-off</b>	Helen Holland, Helen Godwin	12/02/18
<b>For Key Decisions - Mayor's Office sign-off</b>	The Mayor	08/01/2018

Appendix A – Further essential background / detail on the proposal – Full Business Case	<b>YES</b>
Appendix B – Details of consultation carried out - internal and external	<b>NO</b>
Appendix C – Summary of any engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment – Section 10.4 of the Full Business Case	<b>YES</b>
Appendix E – Equalities screening / impact assessment of proposal -	<b>YES</b>
Appendix F – Eco-impact screening/ impact assessment of proposal -	<b>YES</b>
Appendix G – Financial	<b>YES</b>
Appendix H – Legal Advice	<b>YES</b>
Appendix I – Combined Background papers	PWC Report relating to the End User Compute project -due late February 2018
Appendix J – Exempt Information	<b>NO</b>

Project Business Case - Financial Spreadsheet

<b>Project Name:</b>	Mobile Working for Adult Social Care	<b>Project ID:</b>	17 EN 125.1	<b>Document status:</b>	<input type="checkbox"/> Confidential <input checked="" type="checkbox"/> For circulation <input type="checkbox"/> Draft
<b>Project Mngr:</b>	Kate Broadbridge	<b>Version &amp; Date:</b>	v11 21/02/18	<b>Business Case stage:</b>	<input checked="" type="checkbox"/> Full business case <input type="checkbox"/> Final business case

Line No.	Expenditure	% Conf.	Cost / Saving description	Cost Centre & Account Code	£'000	£'000	£'000	£'000	£'000	£'000	£'000
					0	1	2	3	4	5	Row total
					Yr 18/19	Yr 19/20	Yr 20/21	Yr 21/22	Yr 22/23	Yr 23/24	
	Capital Expenditure - Adults Capital Programme		<b>Hardware - Smartphone for Adults Social Care teams</b> (indicative cost of handset) (establishment of 275 inc 35 based in UBH) Indicative Unit cost = £150, plus robust case and car charger @ £20 = Total £170 per unit. Assumption - UHB staff technology review needed		46,750	0	0	0	0	0	46,750
	Capital Expenditure - Adults Capital Programme		<b>Set up cost for phones-</b> £200 per day estimate x 6 days for 275 phones for Adult Social Care plus 191 for Reablement teams (Cost apportioned between Childrens and Adults project - total of 10 days imaging required at a full cost of £2000)		1,200						1,200
	Capital Expenditure - Adults Capital Programme		<b>Hardware - tablets</b> for Adult Social Care teams (establishment of 275 inc 35 based in UBH) Unit cost = £760 plus £115 allowance for rugged case, plug in keyboard and tablet to desktop lead. Total cost per unit = £875		240,625	0	0	0	0	0	240,625
	Capital Expenditure - Adults Capital Programme		<b>Hardware - tablets</b> for Intermediate Care teams (establishment of 31 who need tablets) Unit cost = £760 plus £115 allowance for rugged case, plug in keyboard and tablet to desktop lead Total cost per unit = £875 Assumption - UHB staff technology review needed		27,125	0	0	0	0	0	27,125
	Capital Expenditure - Adults Capital Programme		<b>Hardware -Smartphone to run the Roster mobile app (191 staff) for Reablement and Rehab workers</b> (Establishment of 160 need phone only, plus 31 need phone in addition to tablet= Total 191 staff) <b>Note: Indicative unit cost of handset = £150</b> , plus robust case and car charger £20 = Total £170 per unit. <i>Note: the iConnect Roster product only works on android smartphones. BCC ICT are moving towards set up and support for Android phones</i>		32,470	0	0	0	0	0	32,470
	Capital Expenditure - Adults Capital Programme		<b>Software - Purchase of Mobile App Liquid Logic Adult System</b> (inc VAT)		22,250						22,250
	Capital Expenditure - Adults Capital Programme		<b>Set up costs for tablets - Transition Manager</b> 5 days @£240 per day to document processes and support information (301 tablets)		1,200						1,200
	Capital Expenditure - Adults Capital Programme		<b>Penetration testing for tablets-</b> Security testing of devices. 2.5 days @£1000 per day plus expenses (301 tablets)		2,500						2,500
	Capital Expenditure - Adults Capital Programme		<b>Implementation services from Liquid Logic</b> for mobile application - Liquid Adults System (LAS) 5 x days @ £980 per day		4,900						4,900
	Capital Expenditure - Adults Capital Programme		<b>Implementation - Additional days input from Liquid Logic</b> if needed @ £980.00 per day		4,900						4,900
	Capital Expenditure - Adults Capital Programme		<b>Implementation - 1 FTE Adults System Process and Development Officer</b> for 1 year (BG11) plus oncosts @ 36% and overheads @ 30%. (Assumption that roll out and training completed within 1 year)	Funding previously agreed	57,435						57,435
	Capital Expenditure - Adults Capital Programme		<b>Implementation - 0.5 FTE Project Manager</b> for 1 year (BG13) plus oncosts @ 36% and overheads @ 30%		35,410						35,410
	Capital Expenditure - Adults Capital Programme		<b>Implementation - ICT Project Manager</b> @ £250 per day for 10 days (Note: assumption that an internal resource is found, external resource would be £450 per day)		2,500						2,500
	Capital Expenditure - Adults Capital Programme		<b>Implementation - ICT Project Resource &amp; Support Officer</b> @ £33 per day for 10 days (overhead for the above ICT Project Manager cost)		330						330
	Capital Expenditure - Adults Capital Programme		<b>Software - Mobile App for Home Care Roster</b> - iConnect Note - BCC is currently using version 3 of the product, version 5 is the most recent version of HomeCare Roster		18,258						18,258
	Capital Expenditure - Adults Capital Programme		<b>Additional storage</b> -Bristol City Council host the Liquid Logic Adult System (1 Terabyte =approx 1 million photos) Note: Estimated cost based on Liquid Logic quote Note: there is no storage capacity identified in the BCC system		2,028						2,028
			<b>Total new costs:</b>		499,881	0	0	0	0	0	499,881
	Capital Expenditure - Adults Capital Programme		Windows 10 Build costs - enabling use of Windows products and to include creating an image for the tablets. Note : Price estimated at 47 days work @£250 per day (Assumption of cost split between Adult and Childrens Services)		5,875						5,875
			<b>Total opportunity costs:</b>		5,875	0	0	0	0	0	5,875
			<b>Proposed Capital Expenditure:</b>		505,756	0	0	0	0	0	505,756
			<b>Total project expenditure (new + opp costs):</b>		505,756	0	0	0	0	0	505,756

Project Business Case - Financial Spreadsheet

Business as usual expenditure	<b>Contract cost - Smartphone</b> (options for handsets being investigated) for Adult Social Care teams (establishment of 275 inc 35 based in UBH) Annual ongoing contract cost of - £162 per unit per year (this is £10 per month tariff, plus £3.50 per month Airwatch license cost)	44,550	44,550	44,550	44,550			<b>178,200</b>
Business as usual expenditure	<b>Contract cost - Smartphone to run Home Care Roster mobile app</b> for Reablement and Rehab workers/team leaders (Establishment of 191 ) Annual ongoing contract cost of - £162 per year per unit (this is £10 per month tariff, plus £3.50 per month Airwatch license cost) <i>Note: the iConnect Roster product only works on android smartphones. ICT are investigating purchase of Android phones.</i>	30,942	30,942	30,942	30,942			<b>123,768</b>
Business as usual expenditure	Assumes that 15% of smartphones will be damaged or lost that will need to be replaced over the next four years	2,937	2,937	2,937	2,937			<b>11,748</b>
Business as usual expenditure	Assumes that 15% of tablets will be damaged or lost that will need to be replaced over the next four years	10,040	10,040	10,040	10,040			<b>40,160</b>
Business as usual expenditure	<b>Home Care Roster</b> - An additional server will be required to run the TeleConfirmation system on. Note: it may be preferable to contract a hosted service from Advanced for the Home Care Roster product	750	750	750	750			<b>3,000</b>
Business as usual expenditure	<b>Desktop Service/ Desktop and Collaboration support</b> <b>This role will configure, set up, roll out and ongoing support of phones and tablets.</b> Assumption that this role can support the pace of roll out, if faster roll out is required this resource may need to be increased. At the end of the project there will be 1073 new devices requiring ICT support. Approx 500 laptops will be returned, net increase on the estate is 573 devices. Resource calculated at 260 days per year (i.e. an FTE position split between Childrens and Adults Social care) at £240 per day)	31,200	31,200	31,200	31,200			<b>124,800</b>
Business as usual expenditure	<b>Annual Support and Maintenance for Liquid Logic Mobile application (Liquid Logic Adult System)</b>	5,000	5,000	5,000	5,000			<b>20,000</b>
<b>Total on-going costs:</b>		<b>125,419</b>	<b>125,419</b>	<b>125,419</b>	<b>125,419</b>	<b>0</b>	<b>0</b>	<b>501,676</b>
Savings / reduced spend	<b>Removal of existing Mobile annual contract</b> costs for 191 Reablement and Rehab teams who will have a replacement smartphone (unit cost £30pa)	(5,730)	(5,730)	(5,730)	(5,730)			<b>(22,920)</b>
Savings / reduced spend	<b>Removal of existing Mobile annual contract</b> costs for 275 Social Care teams who will have a replacement smartphone (unit cost £30pa)	(8,250)	(8,250)	(8,250)	(8,250)			<b>(33,000)</b>
Savings / reduced spend	<b>Removal of Vasco token</b> contracts £30 per unit per year for 275 Social Care teams who will no longer have laptops	(8,250)	(8,250)	(8,250)	(8,250)			<b>(33,000)</b>
	FP03 - Single Savings Programme							<b>0</b>
<b>Gross total savings:</b>		<b>(22,230)</b>	<b>(22,230)</b>	<b>(22,230)</b>	<b>(22,230)</b>	<b>0</b>	<b>0</b>	<b>(88,920)</b>
<b>Total net savings ( less on-going costs):</b>		<b>103,189</b>	<b>103,189</b>	<b>103,189</b>	<b>103,189</b>	<b>0</b>	<b>0</b>	<b>412,756</b>
<b>NET Total (net savings less total expenditure)</b>		<b>608,945</b>	<b>103,189</b>	<b>103,189</b>	<b>103,189</b>	<b>0</b>	<b>0</b>	<b>918,512</b>
<b>Cumulative net total:</b>		<b>608,945</b>	<b>712,134</b>	<b>815,323</b>	<b>918,512</b>	<b>918,512</b>	<b>918,512</b>	

Projected payback period (yrs): **More than five**

Additional financial analysis table:

	£'000	£'000	£'000	£'000	£'000	£'000
	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5
Total funded partners:						
Total funded by Bristol City Council:	505,756	0	0	0	0	0
Total benefits accruing to partners:						
Total benefits accruing to Bristol City Council:	103,189	103,189	103,189	103,189	0	0
Annual Capital 'principal' repayments (if applicable) :						
Annual net benefits after 'capital' repayments (if applicable) :	103,189	103,189	103,189	103,189	0	0
Cumulative total borrowing cashflow:	603,070	706,259	809,448	912,637	912,637	912,637

KEY:

New costs
Opportunity costs
Dis-benefits
Benefits
Repayments

Project Business Case - Financial Spreadsheet

<b>Project Name:</b>		Mobile Working for Childrens Social Care		<b>Project ID:</b>		17EN125.1		<b>Document status:</b>		<input type="checkbox"/> Confidential <input checked="" type="checkbox"/> For circulation <input type="checkbox"/> Draft	
<b>Project Mgr:</b>		Kate Broadbridge		<b>Version &amp; Date:</b>		v11 21/02/18		<b>Business Case stage:</b>		<input checked="" type="checkbox"/> Will business case <input type="checkbox"/> Final business case	
Line No.	Expenditure	% Conf.	Cost / Saving description	Cost Centre & Account Code	£'000	£'000	£'000	£'000	£'000	£'000	£'000
					0	1	2	3	4	5	Row total
					Yr 18/19	Yr 19/20	Yr 20/21	Yr 21/22	Yr 22/23	Yr 23/24	
	Capital Expenditure - BCC Innovation fund		<b>Hardware -Smartphone for Childrens Social Care teams</b> (indicative cost of handset) (establishment of 247) Indicative Unit cost = £150, plus robust case and car charger £20 = Total £170 per unit.		41,990						41,990
	Capital Expenditure - BCC Innovation fund		<b>Create image for phones</b> - £200 per day estimate X 4 days for 247 phones (Cost apportioned between Childrens and Adults project - total of 10 days imaging required at a full cost of £2000)		800						800
	Capital Expenditure - BCC Innovation fund		<b>Hardware - Tablets</b> for Childrens Social Care teams (establishment of 247) Unit cost = £760 plus £115 allowance for rugged case, plug in keyboard and tablet to desktop lead. Total cost per unit = £875		216,125						216,125
	Capital Expenditure - BCC Innovation fund		<b>Software</b> - Purchase of the Mobile Application Liquid Logic Childrens System (inc VAT)		22,250						22,250
	Capital Expenditure - BCC Innovation fund		<b>Software</b> - LCS Signs of Safety. Mobile application plus 24 day service pack - implementation		20,160						20,160
	Capital Expenditure - BCC Innovation fund		<b>Additional storage</b> -Liquid Logic host the Childrens System (1 Terabyte ≈approx 1 million photos) £2,028.75		2,028						2,028
	Capital Expenditure - BCC Innovation fund		<b>Set up costs for tablets</b> - Transition Manager 5 days @£240 per day		1,200						1,200
	Capital Expenditure - BCC Innovation fund		<b>Penetration testing</b> - Security testing of devices. 2.5 days @£1000 per day plus expenses		2,500						2,500
	Capital Expenditure - BCC Innovation fund		<b>Implementation services from Liquid Logic</b> for mobile application - Liquid Childrens System (LCS) 5 x days @ £980 per day		4,900						4,900
	Capital Expenditure - BCC Innovation fund		<b>Implementation</b> - Additional days input from Liquid Logic if needed 5 @ £980.00 per day		4,900						4,900
	Capital Expenditure - BCC Innovation fund		<b>Implementation</b> - 1 FTE Childrens System Process and Development Officer for 1 year at BG11 plus oncosts @ 36% and overheads @ 30%. (Assumption that roll out and training completed within 1 year)			57,435					57,435
	Capital Expenditure - BCC Innovation fund		<b>Implementation</b> - 0.5 FTE Project Manager Resources Directorate for 1 year (BG13 plus oncosts @ 36% and overheads @ 30%. On-costs for this post in ongoing costs section below)			35,410					35,410
	Capital Expenditure - BCC Innovation fund		<b>Implementation</b> -ICT Project Manager @ £250 per day for 10 days (Note assumption that an internal resource is found, external resource would be £450 per day)			2,500					2,500
	Capital Expenditure - BCC Innovation fund		<b>Implementation</b> -ICT Project Resource & Support Officer @ £33 per day for 10 days (overhead for the above ICT Project Manager cost)			330					330
			<b>Total new costs:</b>		316,853	95,675	0	0	0	0	412,528
	Capital Expenditure - BCC Innovation fund		Windows 10 Build costs - enabling use of Windows products and to include creating an image for the tablets. Note : Price estimated at 47 days work @£250 per day (Assumption of cost split between Adult and Childrens Services)		5,875						5,875
			<b>Total opportunity costs:</b>		5,875	0	0	0	0	0	5,875
			<b>Proposed Capital Expenditure:</b>		322,728	95,675	0	0	0	0	418,403
			<b>Total project expenditure (new + opp costs):</b>		322,728	95,675	0	0	0	0	418,403
	Business as usual expenditure - matched by efficiency savings identified in the Strengthening Families Programme		<b>Contract cost - Smartphone</b> (options for handsets being investigated) for Childrens Care teams (establishment of 247) Annual contract cost = £162 per year per unit (this is 4G SIM5Gb at £10 a month per SIM plus an Airwatch licence cost of £ 3.50 a month Total annual phone contract cost of £162 per annum per unit		40,014	40,014	40,014	40,014			160,056
	Business as usual expenditure - matched by efficiency savings identified in the Strengthening Families Programme		<b>Desktop Service/ Desktop and Collaboration support</b> This role will set up phones and tablets. Assumption that this role can support the pace of roll out, if faster roll out is required this resource may need to be increased. At the end of the project there will be 1073 new devices requiring ICT support. Approx 500 laptops will be returned, net increase on the estate is 573 devices. Resource calculated at 260 days per year (i.e. an FTE position split between Childrens and Adults Social care) at £240 per day)		31,200	31,200	31,200	31,200			124,800
	Business as usual expenditure - matched by efficiency savings identified in the Strengthening Families Programme		<b>Annual Support and Maintenance for Liquid Logic Mobile application</b> (LCS Liquidlogic Childrens System)		5,000	5,000	5,000	5,000			20,000
			Assumes that 15% of smartphones will be damaged or lost that will need to be replaced over the next four years		1,575	1,575	1,575	1,575			6,300
			Assumes that 15% of tablets will be damaged or lost that will need to be replaced over the next four years		8,105	8,105	8,105	8,105			32,420
			<b>Signs of Safety Annual License Fee</b> - from Liquid Logic		12,500	12,500	12,500	12,500			50,000
			<b>Total on-going costs:</b>		98,394	98,394	98,394	98,394	0	0	393,576
	Savings / reduced spend		<b>Removal of Vasco token contracts</b> £30 per unit per year for 247 Social Care teams who will no longer have laptops		(7,410)	(7,410)	(7,410)	(7,410)			(29,640)
	Savings / reduced spend		<b>Removal of existing Mobile annual contract costs</b> for 247 Childrens Social Workers who will have a replacement smartphone (unit cost £30 per year)		(7,410)	(7,410)	(7,410)	(7,410)			(29,640)
			<b>Gross total savings:</b>		(14,820)	(14,820)	(14,820)	(14,820)	0	0	(59,280)
			<b>Total net savings (less on-going costs):</b>		83,574	83,574	83,574	83,574	0	0	334,296
			<b>NET Total (net savings less total expenditure)</b>		406,302	179,249	83,574	83,574	0	0	752,699
			<b>Cumulative net total:</b>		406,302	585,551	669,125	752,699	752,699	752,699	

Projected payback period (yrs): More than five

Additional financial analysis table:

	£'000	£'000	£'000	£'000	£'000	£'000
	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5
<b>Total funded partners:</b>						
<b>Total funded by Bristol City Council:</b>	322,728	95,675	0	0	0	0
<b>Total benefits accruing to partners:</b>						
<b>Total benefits accruing to Bristol City Council:</b>	83,574	83,574	83,574	83,574	0	0
<b>Annual Capital 'principal' repayments (if applicable):</b>						
<b>Annual net benefits after 'capital' repayments (if applicable):</b>	83,574	83,574	83,574	83,574	0	0
<b>Cumulative total borrowing cashflow:</b>		579,676	663,250	746,824	746,824	746,824

KEY:

New costs
Opportunity costs
Dis-benefits
Benefits
Repayments

# Full Business Case

## Mobile Working for Adult and Children's Social Care

**Portfolio Holder/Cabinet Lead:** Helen Godwin (children)/Helen Holland (adults)

**Councillor Lead:**

**Lead Officer (Director):** Jacqui Jensen (children)/Terry Dafter (adults)

**Report Author:** Kate Broadbridge, Project Manager

**Directorate(s):** People

**Service Area:** Child & Family Services/Care & Support for Adults

**Version number and date:** v10 27/11/17

**Date of endorsement (DLT/Delivery Working Group) :** <DD/MM/YYYY><DD/MM/YYYY>

### Savings Description and Profile as it appears in 17/18 Budget or 18/19 Budget Proposal:

Transformation programmes for children and adult social care are included within the Corporate Strategy and Budget Consultation 2018-2023. Both the children's 'Strengthening Families' and the adult's 'Better Lives' programmes have ambitious savings targets to deliver. Implementing mobile technology and agile working for this large workforce is a key enabler for savings delivery and improved outcomes for service users for both programmes. There are no cashable savings contained within this business case.

Budget Ref.	Savings Description	18/19 £'000s	19/20 £'000s	20/21 £'000s	21/22 £'000s	Total
tbc	<p>Children's Social Care transformation: to respond to national and local challenges in children's social care, we are embarking on a 3-year programme to improve outcomes for children, young people and families and put us on a sustainable financial footing. We will achieve this by focusing on three areas:</p> <ol style="list-style-type: none"> <li>1. Demand – reducing the level of need and the number of children, young people and families that need our support;</li> <li>2. Supply – improving how we organise our resources in order to respond more effectively;</li> <li>3. Workforce – improve how we organise and support our staff to deliver the most effective and timely response to families.</li> </ol> <p>We are currently developing this proposal and if it leads to a potential significant change in services, we will carry out public consultation.</p>	-1,118	2,844	2,325	1,814	5,865
tbc	Introduce Better Lives Programme (improving outcomes for adults in	4,000	4,000			8,000



Budget Ref.	Savings Description	18/19 £'000s	19/20 £'000s	20/21 £'000s	21/22 £'000s	Total
	Bristol): we'll be looking to deliver a transformation programme to change our adult social care services in order to ensure a more joined-up and efficient service for the city. The programme will focus on ensuring people have the right level of care and ensuring residents can maximise their own independence, ensuring commissioning decisions can be better investigated to ensure good investment, and making sure our teams can work more efficiently and effectively with our partners.					

**These programmes will absorb a range of legacy/part-delivered savings from 17/18.**

**DECISION REQUIRED:**

For Delivery Working Group to approve the following separate elements:

1. Commitment to a “one council” approach to equip all Social Workers and Reablement workers across all teams with efficient mobile technology. The proposal is to purchase hardware - phones and tablets, plus the purchase of mobile applications for Liquid Logic core case management systems (Childrens and Adult modules) and the HomeCare Staff Rostering ICT system - iConnect.
2. Approval for the Full Business Case based on the preferred options and costs set out in this document which are shown in three separate streams of Adult Social Care, Intermediate Care and Children’s Social Care.
3. Allocation of investment from the Integrated Better Care fund (IBCF) by Central Government for the Adult Social Care and Intermediate Care elements of the project. This will enable delivery of the single savings programme for Adult Social Care.
4. Provision of funding from BCC resources for Childrens Social work team investment.

For Care and Support – Adults, this proposal is an enabler for delivery of £21.9M to £29.2M over the next 5 years through the Better Lives programme. The potential delivery cost is between £423,368 and £472,333 from the Improved Better Care Fund plus ongoing costs in the range of £90,212 to £91,862 per year ( with a spike of spending of £123,635 in Year 1)

For Children’s Social Care, this proposal is an enable for the delivery of £5.8m over the next 4 years through the Strengthening Families programme. The potential delivery cost is between £342,190 and £384,885 with ongoing costs of between £73,894 and £75,373 per year (with a spike of costs of up to £108,799 in year 1-2)

Funding is requested from ICT Capital Refresh budget for capital expenditure and Bristol City Council reserves for non-capital one-off costs.. Capitalised items are in the range of £425,583 to £472,333 for the Adult Social Care project and between £279,938 and £322,728 for the Childrens project. This amount includes an upgrade to Windows 10 operating system at a cost of £11,750.

Growth will need to be factored into the ICT budget for ongoing support and maintenance costs

incurred by this project.

Separate Outline Business Cases were produced for Adults and Children's and were reviewed at DWG on 2 June 2017 and 23 August 2017 respectively. These documents are available at Appendix 1 and 2.

Given the commonalities across this professional workforce, achieving economies of scale on implementation effort, maximising the council's purchasing power, and having a strong negotiating position with the provider of the mobile app, the decision was taken to take forward the OBCs to FBC as a single piece of work. Service Director sponsors, Jacqui Jensen and Terry Dafter, for the work endorse this joint approach.

## **Section 1: Mandate/ Idea**

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### **1. The problem we want to solve/ the outcome we want to achieve:**

At BCC we want the social work teams to work efficiently with technology that enables them to do their job. Social Care colleagues need to be equipped, connected, supported and with current, relevant data at their fingertips in order to deliver the service in the best way possible. This will ensure that the Council's statutory responsibilities are met and that the resources of the city are utilised.

Bristol City Council has been awarded a share of £2B from the Better Care Fund across 3 years from 2017/18 (Year 1 - £8.7m, Year 2 - £5.8m, Year 3 -£2.9m). It can be spent in any area of Adult Social Care, but is critical that it is invested in a way that will release the greatest value. Outcomes are detailed in the Full Case for the Implementing a New Model of Social Care and Support for Adults, aiming to deliver £2.685 savings in 2017/18 and £11.2 million by 2019/20. There is an opportunity to invest in mobile technology to bring benefits in streamlined working, reduced manual processes and travel and better access to information, advice and guidance

#### **The AS-IS for Social Care Teams**

1. Currently many social workers have a laptop and a Nokia phone. They have no access to Outlook diaries or email and so are not connected when out of the office. This means that they are ill equipped as mobile workers and are reliant on paper records.
2. Social workers are currently tethered to their office base, making many round trips to refer to the core Social Care ICT system, Liquid Logic. This system holds key data on all cases, information is printed daily to inform visits and enable work to progress.
3. Data security is compromised by paper records that hold personal data being taken out of the office.
4. Adult Intermediate Care teams are entirely reliant on paper rosters, with many phone calls filling the communication gap when circumstances change, addresses can't be found, or the citizen would like to be connected with another service or activity. Print costs are currently £10k per year.
5. There is no facility to refer to service user records while out of the office.
6. A strong professional commitment to good and timely record keeping is seriously compromised by the reliance on paper and pen. Most record keeping is done twice – once while out, and again back at the office base. Time pressures on the teams make this very challenging to achieve, and can mean Liquid Logic records lag behind real time work.
7. Currently Social Workers have no access to the internet or apps while they are visiting service users. A key element of the 3-tier model is a need to connect service users with options, possibilities and resources they may find useful, so the lack of connectivity is limiting the extent to which staff can fully deploy the 3-tier model.
8. In children's social care, the Independent Reviewing Officer's Annual Report 2016 recommends the need for improved "Life Story" work. Currently teams have no technology for direct work with children or cameras to record their lives.

9. Social Care teams have no access to cameras to record casework and contribute to the evidence base.
10. Statutory requirements for Children's Social Care teams requires considerable evidence of direct work which is not currently enabled by technology
11. Current mobile phones are dated and texting is time consuming and frustrating. This makes it very challenging to "gain the voice" of the child or young person and be available in a way that suits them.
12. Time is wasted as Social Workers cannot work "on the go" – in court, on trains visiting Bristol children placed in other authorities, in meetings with professionals from other agencies.
13. A mounting workload of "admin" accumulates through the day that needs to be done back at the office.
14. Many other Local Authorities have a standard ICT package for Social Workers and Bristol is lagging behind, making it less competitive in retaining Social Workers.
15. Some colleagues have Blackberrys which are no longer supported by Corporate ICT.
16. Lone working could be strengthened by upgraded technology.

#### **Do Nothing:**

- Not providing suitable mobile technology continues to keep time-poor Social Workers operating inefficiently and tethered to their office location.
- Connections to the internet will not be available compromising Social Workers ability to deliver the 3-tier model.
- The opportunity to use the Liquid Logic mobile application would be lost without upgrade to tablets (this is the only hardware the product is supported on).
- Reablement and Rehab staff will continue to rely on paper rosters being printed and posted to them.

#### **Strategic Fit:**

- Strategic decisions have already been made to purchase Liquid Logic products and continue to use HomeCare Roster.
- This business case enables delivery of one of the core priorities for the adult social care Better Lives programme – "supporting the workforce to be fit for the future".
- A commitment has been made to NHS partners and central government to invest approximately £750k of the IBCF money on mobile technology, to ensure that workers are equipped to be productive and efficient.
- The Strengthening Families Programme is in progress and is part of the Corporate Strategy and Budget Consultation 2018-2023.
- Data Protection requirements on the Local Authority are increasing with new regulations being introduced. Dispensing with the need to print paper case files will support this.
- Efficient working for mobile colleagues requires appropriate technology as described in the Agile Working template - Bristol Workplace.

#### **2. We will know we have succeeded when:**

- Social Workers can carry out high quality social work and core job tasks regardless of their location and are not dependant on being in an office. Efficiencies will result in less bureaucracy and improved service delivery. Benefits include:
  - Social Care colleagues are connected and able to access calendar, diary, emails and a reliable phone while out of the office.
  - Social Care colleagues at grade at BG10 and above are able to use the mobile app to view downloaded records from Liquid Logic in any setting without an internet connection e.g. peoples homes, meetings with professionals, court, hospitals etc.
  - Estimated savings for travel and efficient working of around 5 to10 hours for each FTE per week are realised.

- Liquid Logic records are up to date and record keeping is done once and carried out in real time as much as possible; including referrals to other agencies and direct work with children and citizens.
  - Downtime is reduced as mobile workers are enabled to carry out tasks “on the go”.
  - The internet is available to access resources and connect citizens with “a whole world of resources”.
  - The technology package for Social Care workers is current and comparable with other organisations.
- The technology enables delivery of the 3-tier model in Care and Support - Adults including delivery of lower cost packages and/or more independent service users:
    - So that people receive the right level and type of support, at the right time to help prevent, reduce or delay the need for ongoing support, and to maximise people’s independence.
    - Social workers have access to the internet - supporting service users with “real time” information, advice and guidance about local community services and quicker, more direct decisions.
  - Reablement teams are able to access their roster and emails while out of the office
  - That children’s social workers are equipped with tools to carry out:
    - “life story” work
    - That direct work with service users is possible in the form of plans, templates, reviews and drawings – uploaded directly into their Liquid Logic record without re-keying.
    - Life story work meets the standard set out by the Independent Reviewing Officers and is stored securely.

### 3. Scope

In Scope
<p>Staff:</p> <ul style="list-style-type: none"> <li>• Adult Social work teams – (establishment of 275 including 35 based in hospitals and using University Hospitals Bristol (UHB) systems)</li> <li>• Childrens Social work teams (establishment of 247)</li> <li>• Intermediate Care – (Grade 10 and above needing mobile working– establishment of 31)</li> <li>• Intermediate Care Reablement and Rehabilitation workers – (Grade 5 – establishment of 160)</li> </ul> <p style="text-align: right;">Staff in scope (Grade 10 and above) = 553 Staff in scope (Grade 5) =160 Total Staff in scope = 713</p> <p>ICT – Mobile applications:</p> <ul style="list-style-type: none"> <li>• Liquid Logic mobile application for Adults (LAS)</li> <li>• Liquid Logic mobile application for Children (LCS)</li> <li>• Staff Roster – iConnect mobile application for staff rosters</li> </ul>

Out of scope	Any risks/consequences associated with “Out of scope” items
<ul style="list-style-type: none"> <li>• The recent Rehabilitation and Reablement hothouse concluded that teams who are employed at Grade 5 will not need to carry out electronic record keeping on LAS and will continue with paper recording at this time, although they do need access to</li> </ul>	<ul style="list-style-type: none"> <li>• Some Rehab and Reablement staff may be “left behind” in using new processes and technology.</li> <li>• If additional technology is introduced - the job may become less attractive to some current employees.</li> </ul>

<p>emails and internet.</p> <ul style="list-style-type: none"> <li>The additional mobile modules offered by Liquid Logic –, the Client Portal, and Professional Portal, the Early Help module.</li> </ul>	<ul style="list-style-type: none"> <li>A roadmap for Liquid Logic development is needed to programme roll out of these elements.</li> </ul>
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#### 4. Dependencies and Constraints

##### 4.1 What other work is happening that this connects with or is reliant upon?

- This project is an enabling element of the Better Lives programme.
- This project is an enabling element of the Strengthening Families programme.
- There is potential for the Better Lives and Strengthening Families to achieve economies of scale by jointly designing and delivering culture and behaviour change to underpin agile working.
- Information Advice and Guidance ICT procurement project is underway, benefits relating to the 3-tier model rely on the project being delivered.
- Data Protection requirements are increasing and require personal data to be held securely at all times.
- The SEAL mobile phone project within BCC is paused meaning some mobile phone issues remain unresolved.
- The BCC “Laptop Refresh/ Core Tools” Project is on the pipeline but not in progress as yet.
- There are ICT issues to overcome in relation to UHB in order to utilise the Home Care Roster mobile application. BCC is contracted to use the UHB systems and servers. This impacts 35 staff who work in these hospitals.
- BCC Housing teams have recently piloted mobile working; lessons can be learnt from their experience.
- New policies will be required to cover extended mobile working e.g. photo management.
- BCC may have an opportunity to pilot NHS Careflow (similar to whatsapp for care workers)

##### 5. What limitations do you have to work within?

- There is no identified funding stream for the Childrens Social Care investment.
- The Better Care programme must deliver financial savings by 31 March 2018.
- Investment in project delivery of both the IAG system and the mobile working project must not exceed the Improved Better Care Fund budget.
- Purchasing the Liquid Logic products for both Childrens and Adults will require a Variation of Contract which has not yet been negotiated. The CRSM team are aware of this.
- A recent waiver has extended the Home Care Roster contract until July 2020. A Variation to Contract will be required in order to buy the mobile application of the product.
- The Liquid Logic Mobile application is only supported on tablets; it is not supported on laptops or mobile phones.
- The BCC Housing Team pilot identified some challenges with mobile working for some job roles.
- The resource available in BCC Systems Support and Training team.
- Resources and capacity within the Social Care teams.
- The Childrens Mobile Application (LCS) will only work when BCC have migrated to version 14 which is planned for Jan 2018.

##### 6. EQIA Relevance Check Outcome:

- The EqIA Relevance Check was undertaken and demonstrated that a Full EqIA would not be required

**Section 2: The information in the Outline Business Cases for Adults and Childrens can be found at Appendix 1 and 2. That information is superseded by Full Business Case below**

**Section 3: Full Business Case**

**Preferred Options Detailed Case**

Since the Outline Business Cases for Adult Social Care and Children’s Mobile Working were reviewed at DWG on 2 June 2017 and 23 August 2017 respectively, we have learnt more about the business’ requirements, phone and tablets options, Liquid Logic mobile app, and the Staff Roster mobile app. This is summarised below:-

<b>Phones:</b>	
<b>Pros:</b>	<b>Cons:</b>
<ul style="list-style-type: none"> <li>• Many elements of the identified Business Requirements can be met with “on the go” access to a reliable phone, email, calendar and text. Fit-for-purpose phones could improve mobile working a great deal.</li> <li>• The existing BCC phone contract is being reviewed to extend the range of options BCC has to enable mobile working</li> <li>• Reablement and Rehabilitation workers could benefit from mobile access to the Homecare Roster system, emails, maps and the internet to achieve better efficiency. The solution assessment work has determined that smartphones are the best fit for this cohort of 152 Grade 5 staff</li> </ul>	<ul style="list-style-type: none"> <li>• The SEAL project aims to assess BCC phone requirements and develop a “package” by job role, this project is currently paused</li> <li>• The mobile Home Care Roster system (iConnect) is only supported on android smartphones not Apple iPhones. This is being addressed by the review of the BCC phone contract.</li> <li>• While smartphones offer very user friendly devices for email and internet, they may duplicate the tablet functionality which is also planned. The tablet and phone need to be considered as a job role “package”</li> </ul>

<b>Tablets:</b>	
<b>Pros:</b>	<b>Cons:</b>
<ul style="list-style-type: none"> <li>• Ipad or Windows tablets have different features, but they are in the same unit price range (£760 each unit). User piloting of devices will be needed before a final decision on tablet type is made.</li> <li>• The mobile applications for Adult Liquid Logic (LAS) and Childrens Liquid Logic (LCS) are only supported on tablets, not laptops or phones</li> <li>• Tablets offer both online and offline access to LAS / LCS. This means that the databases can be accessed and updated in real time with wi-fi connections or offline work can be uploaded when connections become available.</li> </ul>	<ul style="list-style-type: none"> <li>• Since Outline Business Cases it has been established that LAS and LCS mobile products only work on tablets, not laptops or phones. Implementation of these products necessitates purchase of tablets.</li> <li>• Tablets will replace laptops – this may create some functional challenges. Budgets allow for additional plug in keyboards per user.</li> <li>• Hothouse conclusions have established that Reablement and Rehabilitation workers at pay Grade 5 will not be accessing LAS and will not be moving to electronic record keeping in the near future so do not need tablet devices.</li> </ul>



<ul style="list-style-type: none"> <li>• Housing teams in BCC have carried out some pilots of tablets. This provided some feedback which the project can make use of.</li> <li>• Connectivity to the internet is extended if the tablets are tethered to a phone, or if a SIM card is used on the tablet. This is a crucial element of the 3 tier social care model – connecting service users with community resources.</li> <li>• Both online and offline work have the potential to increase direct work with service users, enable “on the go” work, speed decisions and reduce inefficient working.</li> </ul>	<ul style="list-style-type: none"> <li>• Smartphones would be required to enable tethering (enabling connectivity), or additional SIM cards within the tablet.</li> </ul>
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<b>Liquid Logic Mobile App:</b>	
<b>Pros:</b>	<b>Cons:</b>
<ul style="list-style-type: none"> <li>• The Liquid Logic mobile product has been live in Trafford for about a month. 80 social workers have been using the Adult mobile app on 13” screen Lenova tablets “without any major issues”. User testing eliminated smaller screen devices. Trafford aim to roll out the Childrens mobile app following a successful 3 month test and planning phase stage. They have provided a 3 hour familiarisation session for staff.</li> <li>• We have visited North Somerset Council who are the development site for the Childrens Module. They are completing their pilot with 20 Social Workers and plan to go live with the Childrens mobile app by the end of 2017.</li> <li>• The new mobile applications from Liquid Logic offer the opportunity to work “offline”. This means that a caseload, or individual records, can be downloaded onto the app and used in settings where there is no wi-fi, e.g. service user homes, court, professional meetings. Information is stored securely and uploaded when a Wi-Fi connection is available.</li> <li>• Increased functionality is offered by the mobile products including secure photo management and electronic signatures, this functionality would be beneficial.</li> </ul>	<ul style="list-style-type: none"> <li>• Technical requirements mean that the full purchase and set up of LAS and/ or LCS mobile applications is required before piloting can start with staff groups.</li> </ul>



Home Care Roster Mobile app – iConnect:	
Pros:	Cons:
<ul style="list-style-type: none"> <li>A waiver has been obtained to extend use of Home Care Roster until July 2020 so BCC is currently committed to this product</li> <li>BCC are reviewing the phone contracts to include android phones</li> </ul>	<ul style="list-style-type: none"> <li>This product only works on android phones</li> </ul>

## 10.1 Summary Costs and Benefits:

The preferred option for Care and Support - Adults is shown below: Preferred Option A: Purchase of smartphones and tablets for all staff in scope (306 staff); plus mobile apps for LAS and implementation costs. Includes cost for Staff Roster -iConnect software and smartphones only for Rehab and Reablement teams (191 staff). (306 staff) Financial Overview:							
(£'000s)	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	5 yr Total	Key Assumptions that underpin the figures
One-off costs (new costs):	<b>466,458</b>						Costs are for 4 year lifetime of hardware Purchase and implementation of tablets and smartphones for Adult Social Care staff Grade 9+ (306 people) Purchase of smartphones for Reablement and Rehab (191staff) to access the roster, Purchase and implementation of LAS (Adult mobile) Purchase and implementation of Staff Roster- iConnect
One-off costs (internal costs):	<b>5,875</b>						Windows 10 upgrade (50% cost split with Childrens project)
Ongoing annual costs:	<b>145,865</b>	<b>112,442</b>	<b>112,442</b>	<b>112,442</b>			Annual phone contract cost, desktop support costs, additional server costs to run Home Care Roster
Gross savings:	<b>(22,230)</b>	<b>(22,230)</b>	<b>(22,230)</b>	<b>(22,230)</b>			Removal of existing phone contract costs and vasco token costs
<b>Annual Costs:</b>	<b>595,968</b>	<b>90,212</b>	<b>90,212</b>	<b>90,212</b>			

:

The preferred option for Children's Social Care is shown below Preferred Option A: Purchase of Smartphones and tablets for all staff in scope (247 staff); plus mobile apps for Liquid Logic Childrens System and project implementation costs Financial Overview:							
(£'000s)	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	5 yr Total	Key Assumptions that underpin the figures
One-off costs (new costs):	<b>316,853</b>	<b>62,157</b>					Purchase and implementation of tablets and smartphones for Childrens Social Care staff (247 people), Purchase and implementation of LCS (Children's mobile app)
One-off costs (internal costs):	<b>5,875</b>						Windows 10 upgrade (50% cost split with Childrens project)

Ongoing annual costs:	88,714	122,137	88,714	88,714			Annual support cost – ( Liquid Logic) Annual phone contract costs
Gross savings:	(14,820)	(14,820)	(14,820)	(14,820)			Removal of existing phone contract costs and vasco token costs
<b>Annual Costs:</b>	<b>396,622</b>	<b>169,474</b>	<b>73,894</b>	<b>73,894</b>			

## 10.2 Benefits:

- Social care teams who are connected, supported and enabled by technology.
- This project will reduce travel time.
- It is expected that quick and timely record keeping will reduce duplicating work.
- It is expected that “downtime” is reduced by enabled mobile working e.g. while in court or between visits.
- Improved access to the internet will enable finding local community tier 1 services and enable realisation of savings attached to the 3-tier model.
- Better “Life story” and direct work is made possible by the provision of improved technology to the Children’s teams.
- Reduced admin, phone calls and printing will be achieved across the Intermediate Care Service team.
- Staff recruitment and retention will be improved when a better “package” of technology is offered to the social work teams.

## 10.3 Costs & Funding

	Adult Social Care	Children’s Social Care
<b>In Scope</b>	<ul style="list-style-type: none"> <li>• Adult Social Work teams (275 staff)</li> <li>• Intermediate Care Service teams supervisors (31 staff)</li> <li>• Intermediate Care Service staff at Grade 5 (191 staff)</li> </ul>	Childrens Social Work teams (247 staff)
<b>Project Costs includes:-</b>	<ul style="list-style-type: none"> <li>• Provision of smartphones (handset to be determined) for all Care and Support - Adults mobile workers (201 in scope)</li> <li>• Tablets for Care and Support - Adults teams and Intermediate Care Service supervisors (301 in scope)</li> <li>• Purchase and implementation of mobile app (LAS) Liquid Logic Adults</li> <li>• Provision of smartphones for Reablement teams to run the Home Care Roster App (191 in scope)</li> <li>• Purchase and implementation of mobile app (iConnect) Home Care Roster</li> <li>• Configuration, implementation, roll out, training and support costs</li> <li>• The annual cost for phone</li> </ul>	<ul style="list-style-type: none"> <li>• Provision of smartphones (handset to be determined) for all Childrens Social Care mobile workers</li> <li>• Tablets for Childrens Social Work teams</li> <li>• Purchase and implementation of mobile app (LCS) Liquid Logic Children</li> <li>• Purchase and implementation of mobile app (Signs of Safety)</li> <li>• Configuration, implementation, roll out, training and support costs</li> <li>• The annual cost for phone contracts and Liquid Logic support for the mobile product</li> <li>• Estimated cost of Increased storage capacity to 1 Terabyte</li> </ul>

	contracts and Liquid Logic support for the mobile product <ul style="list-style-type: none"> <li>Estimated cost of Increased storage capacity to 1 Terabyte</li> </ul>	
<b>Year 1 cost:</b>	£595,968	£396,622
<b>Ongoing cost pa:</b>	£90,212	£169,474 reducing to £73,894 in subsequent years
<b>Funding Source:</b>	Improved Better Care Fund	ICT Capital Refresh BCC Reserve

This Business Case requests funding for a parallel project for Childrens Social work teams. This is to support a “one council” approach, standard technology across teams and an expectation that efficiencies identified will be replicated across both Childrens and Adults Social Care teams

**Notes:**

- Tablets cost in the region of £760 per unit, piloting of tablets with the staff groups is to be highly recommended before purchasing. Cost includes rugged case and tablet to desktop cable.
- Tablets are not in scope for Intermediate Care Service teams at Grade 5 as it has been established that a complete review of process and progress towards paperless working is out of scope at this time
- Figures quoted are for the 4 year lifetime of the product

**Option to maintain existing phone costs:**

- There is a less desirable option to not upgrade to smartphones and maintain the current cost for phones. This would continue the cost of £30 per year for current phones compared with £162 contract cost per unit per year for smartphones (handset to be determined).
- The SEAL project could negotiate improved handsets and functionality at the current cost when the project re-starts.

**Ongoing BCC Costs/Overheads/Opportunity Costs:**

- There are ongoing costs to support increased mobile working eg replacement hardware, helpdesk support
- Additional storage capacity is likely to be needed at an estimated cost of £2000 per terabyte particularly if more photos will be taken and stored
- Workforce Development projects within the Better Lives and Strengthening Families programmes will be used to develop efficient mobile working with improved outcomes and engagement with citizens

- The cost code for the Improved Better Care Fund for the Care and Support - Adults is xxxx
- This Business Case requests funding for the Children’s Social Work hardware, mobile application and project costs in order to support a “One Council” approach to enabling Social Workers across BCC to do their jobs and to prevent a “two tier” approach to technology across one job role.

**10.4 Key Risks and Issues**

- The BCC phone contract is being reviewed to extend the range of options, functionality and prices.

- The SEAL project is currently paused leading to uncertainty about phone options and costs by job role
- There is a problem using the current Home Care Roster system on hardware provided at UBH sites – this needs to be overcome before new versions of the product or the mobile app can progress
- The Home Care Roster iConnect roadmap is not clear and is dependent on network issues at United Hospitals Bristol (UHB).
- The Home Care Roster mobile product is only available on android.
- Contract issues need to be resolved across Liquid Logic, Vodafone, UHB, and the HomeCare Roster iConnect product
- Windows 10 needs to be standard before some tablet options are viable – this contains considerable cost and effort
- Users need to pilot tablets in order to select the best model
- The new technology does not lead to the required cultural change within the social work groups. This is mitigated by Workforce Development project within the Better Lives programme which seeks to support Social Work Teams with the changes to behaviours which will maximise the benefit of the new technology.
- There is a risk of continued reliance on paper records, particularly with the new Data Protection regime. There is a threat of heavy fines and organisational disrepute if personal data is not held securely.
- A visit to North Somerset Council has given confidence and given valuable information about including user engagement and policy implications.
- Trafford are live with Liquid Logic mobile applications giving confidence the products work and are viable
- Advanced have reported 1000 users across 3 Local Authorities using iConnect mobile roster product
- There is no identified solution to extend storage capacity. This is likely to be needed if tablets are in use and photos are taken
- A recent pilot in BCCs Housing team of 5 Lenova tablets has offered some feedback on ruggedness. The product has proved inappropriate for Gas Engineers. User testing will therefore be required to test tablets.
- There is a risk that increased technology demands on some staff may prompt them to leave, however others will welcome the new ways of working.
- Some managers may feel that they will lose oversight of their teams. Support and coaching for managers will need to be a core part of any culture training.
- There is a risk that without appropriate mobile technology BCC will not be able to retain Social Work staff

## **10.5 Sensitivity Analysis and Consequent Contingency Plans**

Best case scenario is that:

- The Better Lives and Strengthening Families programmes are enhanced by technology opportunities and that new ways of working can be enabled and supported.
- With working connections the teams can really harness the value of the whole city's resources and partner working.
- Social Care teams will feel valued, able to work flexibly and without the stress of inefficient working practices e.g. double entry/wasted travel time/unavailable resources.
- Mobile working using tablets can be achieved successfully
- Purchase and deployment tablets will allow a benefit immediately allowing connectivity and online working in Liquid Logic via wifi.
- By the time BCC implement the Liquid Logic mobile products (LAS /LCS) there is more learning from other local authority sites that we can benefit from.

Worst case scenario is that:

- Savings identified by the Adult Social care project are not realised
- The Better Lives budget is exceeded / not invested in highest benefit ways
- The mobile LAS / LCS products offer less functionality than we would like.
- Hardware (tablets) prove less practical for the teams than we anticipate.
- There is a risk that the Better Lives programme pace, goals and savings are negatively impacted by extending the scope to the Childrens Social Care teams
- Investment is not consistent across Social Care teams resulting in demotivation and loss of staff
- There is also a risk that implementation timescales are much longer than hoped for due to the step change and wide range of staff and ICT capability.
- Culture and behaviour changes are not adopted by the staff teams

## 10.6 Delivery Approach (HOW will we deliver and assure the project)?

### 10.6.1 Implementation Approach

- Projects will follow a standard waterfall ICT project plan.
- LAS mobile set up/test and implementation is required in a controlled environment before a first phase with a staff group. Advice from North Somerset is a “slow and gentle” approach is best. Trafford appear to have implemented at a brisker pace.
- Adult Social Care teams are likely to be first to use ICT Systems and Training resources due to the funding timeline
- Project start date for Childrens Mobile app LCS is dependent on V14 which is only available in test from Jan, and planned to be live by June 2018
- Sequential or parallel implementation of the Adult and Childrens projects are possible but dependant on Systems Team resource and recruitment to the Systems Officer posts.
- Project benefits will be enhanced through the Workforce Development project within the Better Lives programme. This project will address any cultural change issues that arise in the move to a more mobile workforce by highlighting good practice across the Service for all teams to adopt.

### 10.6.2 Benefits Realisation approach

- Both projects will be monitored and benefit realisations will be governed by the appropriate Programme Boards

### 10.6.3 Timeline and Key Milestones (WHEN will it be delivered)?

Preferred Option A: Key Milestones	Target Date
Full Business Case sign off	30/11/2017
Product Delivery & Transition Complete	30/09/2018
Benefits realisation complete	31/12/2018
Project closed	31/12/2018

### 10.6.4 Project Team

Project team will consist of:

- Funding has already been agreed for 1 year for 1 FTE System Process and Development Officer to enable configure the mobile application for the Adult Liquid Logic module, testing, development of training materials and support to staff in initial roll out.

- This Business Case requests a similar resource for the Children's Social Work team - recruitment of 1 FTE Systems Process Officer.
- Liquid Logic provides 5 days support at set up at a cost of £850 per day for each of the two modules (Adults and Childrens). BCC can buy additional days support from LL at this rate.
- 1 FTE is requested to provide phone and tablet configuration and roll out followed by desktop support to the additional hardware
- The Innovation team on the Better Lives project are already set up to pilot new processes and may be a useful "test ground"
- The 'Efficient Workforce' workstream in the Better Lives programme will provide training and support for embedding the required behavioural and cultural change
- The Strengthening Families project will form the focus of the children's ICT piloting and roll out.
- ICT project management support will be needed and is costed, as is Transition and Penetration Testing resource.

### **10.6.5 Procurement Approach**

Advice from the Procurement team has indicated that a Variation in Contract will be required to two Liquid Logic contracts. This issue will go to CPG and relevant DLT's for approval. No external suppliers are involved as strategic decisions have already been made committing the Council to Liquid Logic and it is not possible to "bolt on" an alternative mobile product to the core databases without considerable ongoing time and expense

The mobile Staff Roster system – iConnect will require a Variation in Contract. The contractual issues relating to UHB systems need to be resolved allowing the current version of the Staff Roster ICT system to work.

### **10.6.6 Consultation Approach**

No public consultation is planned in relation to this project. Staff consultation and involvement has been and will continue to be a part of the phased approach to the project.

### **10.6.7 Communications and Engagement Approach**

- The project has already engaged with nominated representatives from both adults and children's social work teams including at 10 separate sessions with team members/team meetings, the Children's Social Work staff event (attended by 400 staff) and the Better Lives programme and iMpower.
- Members will be informed of the phased approach and commitment to ensure mobile colleagues can work effectively.
- Colleague engagement is vital to the success of the project and will be carried out in a planned way.
- No public engagement is planned.

### **10.6.8 Project Governance & Assurance**

- The roll out of the technology within Care and Support – Adults will report to the Better Lives Programme Board via the existing monthly highlight reporting process.
- The Care and Support - Adults Better Lives programme is likely to run a "first phase" through the Innovation site and Citywide Reviewing Team. Feedback from this will be evaluated before full roll out of the technology.
- The Childrens Social Care "Strengthening Families" programme will run a "first phase" of improved mobile working.

### **10.7 EQIA Summary of impact and key mitigation.**

Key equalities impacts are detailed in the attached Full Assessment

### **10.8 Eco-IA Summary of impact and key mitigation.**

- Reduced travel time.
- Reduced use of paper and printing by implementing the electronic roster system.

### **10.9 Info-IA Summary of impact and key mitigation.**

*Please summarise the key information security impacts (if any) of the proposal and associated mitigating actions. [See link to full template in [Appendix B](#)]*



## APPENDIX

### A. Required commentary and recommended consultation

(You are expected to engage and consult all key individuals/groups throughout the business case lifecycle. You are also expected to involve subject matter experts throughout your business case development and seek their advice and professional commentary).

FULL BUSINESS CASE		
Recommended bodies/individuals for consultation ahead of submission to DWG:	Commentary (if any)	Date
Portfolio Holder		dd/mm/yyyydd/mm/yyyy
DLT		dd/mm/yyyydd/mm/yyyy
Professional Views <i>(all business cases require commentary from professional views even if "not applicable")</i>	Commentary	Date
<b>MANDATORY FOR ALL BUSINESS CASES</b> <b>Finance Business Partner - David Tully and Neil Sinclair</b>	<p>The proposals aim to modernise the working practices of Bristol Social Workers with the introduction of better technology.</p> <p>The costs have been driven by the compatibility of the software and the needs of the service. Liquid Logic's product is only available on a tablet, so that ruled out alternatives. Likewise, the choice of phones was limited by those which could be supported corporately – either a basic phone or an i-phone. Costs have been challenged (eg whether £875 for a tablet was good vfm) and defended, so the costs are accepted as presented. The difference in cost between the two options relates to whether the phone is a basic one or an i-phone. The cost differential is significant: for Children's Social Care £521k v £343k and for Adults Social Care £731k v £561k. So, over four years, there is a £343k difference between the options, averaging at £87k per year. On cost alone you would choose Option B (Basic phone and tablet), but the issue is whether the Option B would produce the stepped increase in performance expected from the changes in technology.</p> <p>There are no identified savings from either option, meaning that no sensible payback period can be calculated. Notably, the business case asserts that there are no savings from</p>	13/11/2017



	<p>switching 500+ staff members from standard issue laptops to tablets. It is difficult to see that the organisation does not benefit somehow from this arrangement, either through being able to have a bigger pool of laptops, thus delaying renewal times, or through needing to renew fewer laptops over time. For both sets of social care workers these initiatives are enablers to produce more efficient and effective ways of working. They may help productivity and the streamlining of processes which may indirectly facilitate cashable savings, but the introduction of new technology is essentially in the non-cashable savings category.</p> <p>The main difference between the two services is that Adults Social Care has access to the i-Better Care Fund which can be used to fund the costs (one-off and on-going), but Children's Social Care has no such access to that fund. The Children's Social Care investment, therefore, is seeking funding from reserves for the initial one-off costs and additional budget funding for the on-going costs.</p>	
HR Business Partner – Lorna Lang	<p>The agreement of this proposal is essential for the future Social Worker Workforce. Currently we are finding it difficult to recruit into our SW vacancies and it is even more difficult to keep them. Our statistics of social workers leaving within one year of start date is very poor running at 50% or leavers leaving within two years. We have evidence from exit interviews that leavers are stating that lack of equipment/IT/Technology to help them do their jobs is making a difficult job even more difficult. We will continue to find it difficult to recruit and retain good employees if we do not invest and our reputation as an employer of choice will continue to be severely challenged.</p> <p>We will need to ensure there is a support programme for existing and new employees to the authority. I think that we should have dedicated support for all existing social workers with a walk the floor approach.</p> <p>This proposal is a very positive step forward for our Social Worker workforce and demonstrates a commitment to their wellbeing as this investment will help to manage and reduce caseloads and support SW's to reduce the every day stress they experience through lack of technology.</p>	09/11/2017
Change Services View – Lee Ford		28/11/2017
ICT View - Nick Norris	Having discussed the document with key members involved in its production I am satisfied that they have taken my views into account including hardware support, suitability of devices (piloting will be key to decision making) and considering future departmental needs. My involvement in the ITE mobile working project has allowed me to voice pertinent concerns/alterations to this document.	13/11/2017
Enterprise Architecture View - Alastair Capon		dd/mm/yyyydd/mm/yyyy
Property View - <name>	no property implications	dd/mm/yyyydd/mm/yyyy

<p>Legal View - Nick Minnack</p>	<p>Procurement advice has already been sought in relation to business case that has been made. Initial indications are that the variations to the pertinent Liquid Logic contracts would fall be permissible in accordance with Regulation 72(5) of the Public Contracts Regulations (less than 10% of total value). There is already a waiver in place until July 2020 in relation to the iConnect contract. There is insufficient information to advise further in relation to the UHB systems, but further advice will be provided as required.</p> <p>Besides procurement, the fact that the current system relies upon social workers accessing personal data outside the office environment by reference to hard copies presents a significant risk of data breach. In the event that copies of this information were left on public transport or stolen from a car/house, BCC should expect sanction from the ICO and, quite possibly, a fine. I am of the view that, were the Council minded not to proceed with this project, then the SIRO should be notified for her input, given the risks presented by the current ways of working. Data protection is not my area of expertise and I have recommended that further work be undertaken with the Data Protection Officer in order to ensure that all of the risks in this area and identified and eradicated/mitigated.</p>	<p>13/11/2017</p>
<p>Commissioning &amp; Procurement View - Sarah Boston</p>	<ul style="list-style-type: none"> <li>• The procurement routes available for the Liquid Logic mobile apps are the following:</li> <li>• Amending the current contracts with Liquid Logic for Children’s and Adults. Depending on the overall value of the variation, this is likely to be a low risk, low cost option although care would need to be taken that any additional needs for the mobile application are sufficiently covered in any contract variation.</li> <li>• Direct award to Liquid Logic via G-Cloud for their mobile application. Pricing here would be fairly fixed for the unit cost specified on the Digital Marketplace. The terms and conditions are more specifically geared towards such cloud based applications, however consideration would still need to be made to ensure that the base call-off terms are sufficiently tailored to BCC’s needs.</li> <li>• Direct award to Liquid Logic on the supplier or BCC’s t’s and c’s. This option would require the greatest amount of time and resources from both parties. This would require a waiver if the total cost is in excess of £15k. <ul style="list-style-type: none"> <li>○ Any procurement (irrespective of route) would need to be approved by CPG.</li> </ul> </li> <li>• Re iConnect - The impact on the contractual position relating to iConnect from Advanced is unknown at this stage. In your email below, you’ve noted that Mike Barnes is looking into this. I’ve had a catch up with Mike and he advised that he’s not been asked to look</li> </ul>	<p>13/11/2017</p>

	<p>at this at all. I am happy to pick this up but would need a bit more detail on this before approaching the supplier. The current contract with Advanced Health and Care Limited is non-compliant with the BCC Procurement Regulations and Public Contract Regulations 2015. Any further amendment and increase in scope to this contract would require acceptance of any further risk and an additional waiver. This would need to be approved by CPG.</p> <ul style="list-style-type: none"> <li>• The information available states that iConnect will only work on Android and not Apple iPhones. Reliance appears to be being placed on having this solution as part of the project, but that Android phones were not looked at as part of the solution assessment. I also understand BCC does not currently support Android internally, so I'm not sure how this would be supported. Would this be reliant on the chosen tablet to be an Android device? Do the phone only users need mobile access to iConnect? Or is it only the tablet users?</li> <li>• Has consideration been made to alternative time reporting solutions that would be compatible with a greater range of devices?</li> <li>• I have previously been unaware of any compatibility issues re the UBH hardware and HomeCare Roster so is not something I can provide further guidance on.</li> </ul>	
<p>Information Security View - Bernadette Keen</p>	<p>There are a number of policy issues to be addressed to support this new way of working. Photo management and storage of data – to be addressed within the project. This will be subject to GDPR legislation. Consideration must be given to privacy notices, and the requirements of General Data Protection Regulation (GDPR) as a whole.</p> <p>There are advantages to be gained through the use of managed devices which are encrypted. Penetration and vulnerability testing initially and on an ongoing basis needs to be costed and included in the business case.</p>	<p>13/11/2017</p>
<p><b>Other consulted parties (as required)</b></p>	<p><b>Commentary</b></p>	<p><b>Date</b></p>
		<p>dd/mm/yyyydd/mm/yyyy</p>
		<p>dd/mm/yyyydd/mm/yyyy</p>
		<p>dd/mm/yyyydd/mm/yyyy</p>

## B. Mandatory Project Documents

*(It is expected that documents required to support both OBC and FBC, will be less detailed with lower confidence levels at OBC stage and more detailed with high confidence levels at FBC stage. Please provide a link to the relevant document, insert as an object, or add as an additional Appendix item)*

Document Name (& links to templates)	Stage required	Document Exists? (Yes/ No)	Validated By (Name and Role)
Appendix 1 Outline Business Case - Adults			
Appendix 2 Outline Business Case - Childrens			
<a href="#">EQIA Relevance Check</a>	Idea/Mandate	Yes	
Full Options Appraisal <i>*link to be added*</i>	OBC	Yes	
<a href="#">Project Financial Spreadsheet</a> (costs and benefits/ sources of funding/ benefits contracts)	OBC/ FBC	Yes	
<a href="#">RAID Log</a>	OBC/ FBC	Yes	
<a href="#">Project Plan</a>	OBC/ FBC	Yes	
<a href="#">EQIA</a>	OBC/ FBC	n/a	
<a href="#">EcoIA</a>	OBC/ FBC	Yes	
<a href="#">InfoIA</a>	OBC/ FBC	Yes	
Solution Design (No template – this should be unique in content/ structure/ detail for each project)	FBC	Yes	

### C. Conditional Approvals

#	Condition	Date for Completion	Owner
1			
2			
3			

### Document version control and change history

Date	Version	Author	Amendment
27/11/17	V10		N/A

# MOBILE TECHNOLOGY RISK LOG

PROJECT ID	3
DATE LAST AMENDED	14/11/17

ID	Risk or Issue	Description	Likelihood	Impact	Priority	Date identified	Mitigation	Residual			Owner / Actioner	Notes	Date of last update	Status
								Likelihood	Impact	Priority				
R01	Risk	Access to Mobile Technology does not change the way people work. This would result in the expected efficiencies not being realised.	2	3	6	13/09/17	Trial to occur before full roll out to establish new business processes. Processes to be integrated into Workforce Development project.	1	3	3	OB		13/09/17	Open
R02	Risk	Childrens are also planning the use of Mobile Technology and where possible the projects will join up. If there is a delay to the Childrens element (i.e. in securing funding) there could be a knock on effect to the Adults project.	4	3	12	13/09/17	To be treated as separate projects so they can go forward separately if required.	1	3	3	OB		13/09/17	Open
R03	Risk	If the value of the project is over £500k, it will need to go to Cabinet for approval. This will lead to a delay in full roll out of Mobile Technology and a delay to the benefits being realised.	2	4	8	13/09/17	Outline business case stage indicated the funding for the project would be less than £500k. Project could be scaled back to ensure that it is under the threshold.	1	4	4	OB		13/09/17	Open
R04	Issue	Windows 10 is required if Lenova tablets are chosen. This is a significant piece of work and cost to BCC. This could be considered a strategic cost rather than a cost associated with this projec	3	4	12	13/09/17	Funding consideration - is a proportion of the cost attributed to this project more realistic?	2	4	8	MI		13/09/17	Open
R04	Risk	SEAL Project is paused and is needed to extend the range of products and ensure products are viable with a minimum spec. No phone package identified by role	3	4	12	13/09/17	SEAL Project needed to resolve phone by role issues and corporate funding for phones where linked to core job role	2	4	8	MI		13/09/17	Open
R04	Risk	There is no identified storage capacity for the increased number of photos that its likely the camera function will offer. Lack of storage capacity is a known issue	3	4	12	13/09/17	Storage increase planning is required	2	4	8	MI		13/09/17	Open
R04	Risk	Basic phone options mean that internet access is limited	1	4	4	13/09/17	SIM cards would be needed in the tablets if basic phones are retained	2	4	8	MI		13/09/17	Open
R04	Risk	Home Care Roster product is only available on Android. This is not supported by Bristol City Council ICT	3	4	12	13/09/17	SEAL Project reviewing items on BCC contract	2	4	8	MI		13/09/17	Open
R04	Risk	Market testing may be advisable for the Home Care Roster mobile product as there are a number of issues	3	4	12	13/09/17		2	4	8	MI		13/09/17	Open
R04	Risk	Delay within ICT to purchase, roll out and/or support the Mobile Technology eg android phones	2	4	8	13/09/17	ICT involvement to be reviewed	2	4	8	MI		13/09/17	Open
R05	Risk	The selected Mobile Technology does not fit the requirements that have been identified by the business.	2	3	6	13/09/17	ICT involved in Requirements Workshops. Piloting of tablets before purchase is planned to test out mobile working practices. Lessons from Housing pilot can be used eg need for ruggedized cases	1	3	3	MI		13/09/17	Open
R06	Risk	The challenges of the new way of working and new technology results in colleagues leaving and further retention issues	2	2	4	16/10/17	Careful planning of comms and implementation required to support all staff and make the project successful	1	2	2	Implementation team		17/10/17	Open
R07	Issue	That resources are not available in the Application team and set up and testing are compromised	1		0	10/10/17	2fte Systems Support Officers budgeted for			0				
R08	Issue	That ICT do not have the capacity to support the numbers of mobile devices proposed for the Council			0	1.11.17	Budgets allow for this			0				
R09	Issue	Delays by the business selecting suitable devices would impact on delivery dates	1	1	1	1.11.17								
R10	Issue	Mobile devices fail to function in 'dead zones' such as basement flats - noted that Liquid Logic offer the opportunity to work "offline" but other features eg calls / loan worker app will not work	1	1	1	1.11.17	Offline working until connections are available is a feature of the mobile Liquid Logic products							
R11	Issue	The provision of non smart phones will impact on application delivery and the provision of cameras	1	1	1	1.11.17	This is provided by tablets							
R12	Issue	Risk of damage if Dongles provided (these stick out and are easily broken)	1	1	1	1.11.17	Consider cost implications of wear and tear of mobile working							
R13	Issue	Funding sources are as yet unconfirmed	1	1	1	22.11.17	Meeting with Ian Gale/Neil Sinclair/David Tully/Jayne Clifford to sign off finance sources due in Jan	1	1	1				
R14	Issue	Its currently unclear when a wider range of supported devices will be approved by BCC ICT team	1	1	1	22.11.17	Close tracking of Ian Gales End user compute project and PWC report on strategic ICT issues.	1	1	1				
R15	Issue		1	1	1			1	1	1				

## Bristol City Council Equality Impact Assessment Form

(Please refer to the Equality Impact Assessment guidance when completing this form)



Name of proposal	Mobile Working for Social Care Teams
Directorate and Service Area	People
Name of Lead Officer	Stephen Beet, Jayne Clifford, Angela Clarke

### Step 1: What is the proposal?

Please explain your proposal in Plain English, avoiding acronyms and jargon. This section should explain how the proposal will impact service users, staff and/or the wider community.

#### 1.1 What is the proposal?

**The proposal is to deploy tablets and a mobile Liquid Logic app to Social Care teams (social workers and other job roles) so that they can have access to the existing Social Care ICT system – LiquidLogic.** Access will be through either WiFi, or through the Liquid Logic Mobile app. The mobile app allows download of specific records or caseloads, work while out of the office and then upload of the records into the main database.

The mobile app has extended functionality allowing electronic signatures.

Photos can be taken and stored securely in the mobile app and are erased from the device when uploaded into the main database.

The use of tablets will increase the number of locations where Social Care teams can work.

**The proposal is to deploy better phones to Social Care teams (either better basic phones or smartphones). It will allow teams to be connected to email, texts and electronic calendars.**

**This proposal is to deploy smartphones to Reablement and Rehabilitation teams. This will allow access to the Staff Roster system and replace paper rosters. It will allow teams to be connected to email, texts and electronic calendars, as well as mapping apps.**

**The use of tablets and smartphones will allow connection to the internet so that Social Care teams can connect service users with a “world of resources” eg info about support groups or local activities.**

## Step 2: What information do we have?

Decisions must be evidence-based, and involve people with protected characteristics that could be affected. Please use this section to demonstrate understanding of who could be affected by the proposal.

2.1 What data or evidence is there which tells us who is, or could be affected?

Engagement with 9 staff groups across the teams and the Childrens Social Care staff event have unearthed many hopes and anxieties about the impact of new technology on staff and service users. These will inform the project

2.2 Who is missing? Are there any gaps in the data?

The Social Care teams work with people who are often vulnerable, unwell or reliant on services provided for their wellbeing. In this context sensitive use of technology is needed to avoid alienation and a “barrier” to positive work.

This project offers the opportunity to text, which would be welcomed by many service users as a calm and quick way to contact their Social worker.

“Looked after children” are particularly vulnerable

2.3 How have we involved, or will we involve, communities and groups that could be affected?

Feedback could be asked of service users during the piloting of the technology and software.

## Step 3: Who might the proposal impact?

Analysis of impacts on people with protected characteristics must be rigorous. Please demonstrate your analysis of any impacts in this section, referring to all of the equalities groups as defined in the Equality Act 2010.

3.1 Does the proposal have any potentially adverse impacts on people with protected characteristics?

Staff groups

Engagement with the staff groups indicates:-

**Age** - Older staff may be affected by the challenges presented by technology or may need more support to adopt technology and new ways of working.

Conversely, younger staff may not be retained by BCC if technology provision does not keep pace with other organisations

**Disability** – staff who currently have “reasonable adjustments” will need this to continue and to be reassessed in relation to new technology and ways of



working. There are potential enhancements offered by technology to improve access eg speech to text technology.

**Gender reassignment** – no impact identified

**Marriage and civil partnerships** – no identified impact

**Pregnancy and Maternity** – the weight of tablets will be considered as part of the pilot

**Race** - no identified impact

**Religion** – no identified impact

**Sex** - no identified impact

**Sexual Orientation** -- no identified impact

Service user groups –

There is no current evidence, but mobile working will be managed under a clear pilot which could ask service users for their feedback

**Age** – The advantage of using technology is that more “direct work” with children is made possible in a format that many children find appealing and are used to, e.g. – ability to draw on a tablet and carry out the “three houses” exercise

**Disability** –

There are potential enhancements offered by technology to improve access Disabled service users may be helped by provision of user friendly formats and accessible “direct forms” on a tablet.

**Gender reassignment** – no impact identified

**Marriage and civil partnerships** – no identified impact

**Pregnancy and Maternity** – no identified impact

**Race** - There are potential enhancements offered by tablet technology to improve access for service users eg apps that translate from one language to another/ “easy read”/larger font

**Religion** – no identified impact

**Sex** - no identified impact

**Sexual Orientation** - no identified impact

3.2 Can these impacts be mitigated or justified? If so, how?

Yes – will careful planning and monitored pilots.

New policies and guidance may be needed

3.3 Does the proposal create any benefits for people with protected characteristics?

Yes – see detail above.

- Increased access to contact their Social worker through text
- Improved possibility of “direct work” with children with drawing /templates

- Better “Lifestory” work including secure storage of photos for Looked after children
- Access to the internet to connect service users with ideas and resources that might help them eg a local support group

3.4 Can they be maximised? If so, how?

#### Step 4: So what?

The Equality Impact Assessment must be able to influence the proposal and decision. This section asks how your understanding of impacts on people with protected characteristics has influenced your proposal, and how the findings of your Equality Impact Assessment can be measured going forward.

4.1 How has the equality impact assessment informed or changed the proposal?

- Staff working in this field are very knowledgeable and sensitive to their service users needs. Their input during pilots will direct the project
- A visit to North Somerset who have already piloted mobile use of tablets and Liquid Logic has advised a “slow and gentle” approach that we can follow
- Thought and provision of “reasonable “adjustments” will need to be carried out at each stage of the project
- The EiA has led to a question about getting service users feedback about the use of tablets and the mobile app for Liquid Logic
- Identification that older staff may need more support during this project

4.2 What actions have been identified going forward?

- New guidance and policy will be needed relating to mobile working for Social Care teams including photo policies, privacy and download of suitable apps.

4.3 How will the impact of your proposal and actions be measured moving forward?

- Through the pilots with organised feedback
- Governance and assurance from the relevant programme boards – “Better Lives” and “Strengthening Families”. Both these boards will have staff and management representation

Service Director Sign-Off:

Equalities Officer Sign Off:

Date:	Date:

## Eco Impact Checklist

<b>Title of report: Mobile working for Social Care Teams</b>				
<b>Report author: Kate Broadbridge</b>				
<b>Anticipated date of key decision 22.11.17</b>				
<b>Summary of proposals: Deployment of tablets and better mobile phones to enable more efficient mobile working in the Social Care teams. Implementation of the mobile Liquid Logic app (the social care database) and the Staff Roster app (roster system for visiting Social Care teams)</b>				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	Yes	+	Project is expected to reduce unnecessary travel time by providing technology to work "on the go"	
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	Yes		Project is expected to reduce unnecessary travel time by providing technology to work "on the go"	
Production, recycling or disposal of waste	Yes	+	Project aims to reduce significant print, post, paper handling and storage of weekly rosters for 152 staff and replacing this with electronic records	
The appearance of the city?	No			
Pollution to land, water, or air?	Yes	+	Reduced carbon emissions due to reduced unnecessary travel	
Wildlife and habitats?	No			
<b>Consulted with:</b>				
<b>Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u></b>				
The significant impacts of this proposal are <ul style="list-style-type: none"> <li>• Reduced travel time and resulting reduced mileage cost and carbon emissions.</li> <li>• Reduced paper management of roster work and replacement with electronic</li> </ul>				

records (value £10k pa printing plus storage costs)

The proposals include the following measures to mitigate the impacts...

The net effects of the proposals are

**Checklist completed by:**

Name:	Kate Broadbridge
Dept.:	Resources Directorate
Extension:	
Date:	7/11/17
Verified by Environmental Performance Team	

## ***Bristol City Council***

# ***Information Impact Assessment***

## **Project: Mobile Working for Social Care Teams**

The proposal?

**The proposal is to deploy tablets and a mobile Liquid Logic app to Social Care teams (social workers and other job roles) so that they can have access to the existing Social Care ICT system – LiquidLogic.** Access will be through either WiFi, or through the Liquid Logic Mobile app. The mobile app allows download of specific records or caseloads, work while out of the office and then upload of the records into the main database.

The mobile app has extended functionality allowing electronic signatures.

Photos can be taken and stored securely in the mobile app and are erased from the device when uploaded into the main database.

The use of tablets will increase the number of locations where Social Care teams can work.

**The proposal is to deploy better phones to Social Care teams (either better basic phones or smartphones). It will allow teams to be connected to email, texts and electronic calendars.**

**This proposal is to deploy smartphones to Reablement and Rehabilitation teams. This will allow access to the Staff Roster system and replace paper rosters. It will allow teams to be connected to email, texts and electronic calendars, as well as mapping apps.**

**The use of tablets and smartphones will allow connection to the internet so that Social Care teams can connect service users with a “world of resources” eg info about support groups or local activities.**

## ***Document Control***

<b>General Document Information</b>	
<b>Version:</b>	1.03
<b>Version status:</b>	Approved
<b>Version date:</b>	12/06/2013

<b>Revision History</b>			
<b>Version</b>	<b>Revision Date</b>	<b>Description /Reason for change</b>	<b>Author (name and role)</b>
1.01	18/08/2014	Updated form to new single change livery	James Gay

## Project Details

PM Contact details	
<b>Name:</b>	Kate Broadbridge
<b>Title/Role:</b>	Project Manager
<b>Department:</b>	Change Services
<b>Telephone:</b>	
<b>Email:</b>	kate.broadbridge@bristol.gov.uk

Project Timetable estimates		
Shaping	Start:	End:
Planning:	Start: 1.9.17	End: 22.11.17:
Procurement:	Start: 23.11.17:	End: 31.12.17
Delivery:	Start: 23.11.17	End: 31.12.18

## Information Management Review (Completed by IM Team)

Information Management Team	Recommendation
Information Security Team: Bernadette Keen	
Senior Data Protection Officer: Lynne Miller	
Information Management Advisor: James Gay	

## (Completed by IM Team)

Further Action Required	Action Required?
<a href="#">Internal Sharing Agreement</a> Required?	Y/N
<a href="#">External Sharing Agreement</a> Required?	Y/N
<a href="#">Information Security Risk Assessment</a> Required?	Y/N
<a href="#">Information Risk Assessment</a> Required?	Y/N
Is a <a href="#">Limited or Full Privacy Impact assessment</a> Required?	Y/N Limited/Full



## Information Questions – delete Y or N as appropriate

(a) Is the project likely to change the acquisition, processing, storage or disposal of information in any of the following categories?

*NB: 'Acquisition' includes the collecting, buying, generating and obtaining from other bodies; 'Processing' includes the reading changing and combining; 'Storage' (in any format including paper); and 'Disposal' includes the retention, deletion, destroying or not disposing of information.*

Information Category	Acquisition	Processing	Storage	Disposal
Customers:	Y	Y	Y	Y
Children:	Y	Y	Y	Y
Adults:	Y	Y	Y	Y
General Public:	N	N	N	N
Council Employees:	Y	Y	Y	Y
Council property/buildings:	N	N	N	N
Council 'unfixed' assets e.g. vehicles /equipment:	N	N	N	N
Other property/buildings:	Y	Y	Y	Y
Council finances:	N	N	N	N
Payments (in or out):	N	N	N	N
Other organisations, their staff and clients:	N	N	N	Y
Business processes, performance and capacity:	Y	Y	Y	Y

(b) Does the project involve processing personally identifiable information fall outside the EEA region, if it is, is a Safe Harbour Agreement in place? For more information from the ICO, read [here](#)

No **Is within EEA region**

(c) Will the project involve other organisations? Is this likely to involve exchanging information with them?

No

This is outside the scope of the current project. This project focuses on BCC ways of working and processes

There is a future possibility that the Professional portal of the Liquid Logic product may be bought allowing secure exchange of information between health professionals.

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**(d) Is the project likely to provide or require new information or information analysis to support performance management, planning or decision making?**

Yes	Mobile working does require new or different management and performance management styles. These are already current within BCC.
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**(e) Does the project itself (rather than its outcomes) need new information or analysis to succeed or operate at an acceptable level of risk? If so at which stage(s)?**

<b>Learning:</b>	Yes- User involvement and well managed pilots will be required to ensure mobile working is at an acceptable level of risk and that the project can succeed as expected at all stages of the process and across various job roles.  This will include deployment of new hardware (eg tablets) and mobile apps (eg Liquid Logic Adults and Childrens product) as well as new working processes (eg ability to access Social Care records in different environments such as in court/ in a service users home)
<b>Shaping:</b>	
<b>Planning:</b>	
<b>Delivery:</b>	
<b>Business As Usual:</b>	

***Privacy screening questions (recommended by the Information Commissioner)***

**(1) Does the project apply new or additional information technologies that have substantial potential for privacy intrusion?**

*NB: Examples of relevant project features include a digital signature initiative, a multi-purpose identifier, interviews and the presentation of identity documents as part of a registration scheme, and an intrusive identifier such as biometrics. All schemes of this nature have considerable potential for privacy impact and give rise to substantial public concern and hence project risk.*

Yes	<p><b>The project enables the potential to allow Social Care staff to take photos and take electronic signatures from service users.</b></p> <p><b>Delivery of these features requires policy work and is not within the scope of the current proposed project. The current project is to deliver hardware (tablets and phones) and implement new software (Liquid Logic mobile apps)</b></p>
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**(2) Does the project involve new identifiers, re-use of existing identifiers, or intrusive identification, identity authentication or identity management processes?**

**No**

**There is no identity or authentication identifier aspect of this project**

**(3) Will the project mean that citizens will be able to use new or changed service anonymously or pseudonymously?**

*NB: Anonymous is used to describe situations where the acting person's name is unknown. Pseudonymity, meaning 'false name', is a state of disguised identity.*

**No**

**The project is to carry out existing tasks using mobile technology**

**(4) Will the project convert transactions that could previously be conducted anonymously or pseudonymously into personally identifiable transactions i.e. to an individual?**

*NB: Many business functions cannot be effectively performed without access to the client's identity. On the other hand, many others do not require identity. An important aspect of privacy protection is sustaining the right to interact with organisations without declaring one's identity.*

**No**

**There is no identifiable transaction aspect to this project, and no transactions that will be converted into identifiable transactions as a result of this project.**

**(5) Does the project involve multiple organisations, whether they are government agencies (e.g. in 'joined-up government' initiatives) or private sector organisations (e.g. as outsourced service providers or as 'business partners')?**

*NB: Schemes of this nature often involve the breakdown of personal data silos and identity silos, and may raise questions about how to comply with data protection legislation.*

**No**

**This project enables closer working with partners, but is outside of the scope of this project which focuses on deploying tablets and smartphone and the mobile app – Liquid Logic.**

**(6) Does the project involve new or significantly changed handling of personal data that is of particular concern to individuals?**

*NB: 'Sensitive personal data' such as racial and ethnic origin, political opinions, religious beliefs, trade union membership, health conditions, sexual life, offences and court proceedings. Other categories of personal data that may give rise to concern including financial data, particular data about vulnerable individuals, and data which can enable identity theft.*

**Yes**                      **Deployment of tablets and/or smartphones will allow ready access to take photos. If photos are taken within the Liquid Logic App they are secure and removed from the device when uploaded into the database. New photo management policies will be required.**

**Ability to work in a mobile way with personal data will require new guidance and policies eg what data can be shown on screen, how to ensure privacy of data, if work relating to personal data is acceptable in a public building**

**(7) Does the project involve new or significantly changed handling of a considerable amount of personal data about each individual within a council database or system?**

*NB: Examples include intensive data processing such as welfare administration, healthcare, consumer credit, and consumer marketing based on intensive profiles.*

**Yes**                      **The potential to take and store photos will involve a significant change and may generate a lot of data that needs managing.**

**Mobile working allows generation of personal while out of the office. This is a significant change to handling of personal data and will require new policies and guidance**

**Storage of signatures is a significant change and may be enabled by this project – although is beyond the scope of this project.**

**(8) Does the project involve new or significantly changed handling of personal data about a large number of individuals?**

*NB: Any data processing of this nature is attractive to organisations and individuals seeking to locate people, or to build or enhance profiles of them*

**Yes**                      **There are 11,500 live current Adult Social care cases and x Childrens Social care cases. Records are stored indefinitely. The Council have a statutory duty to keep information relating to social care –particularly relating to Looked after Children.**

**(9) Does the project involve new or significantly changed consolidation, inter-linking, cross-referencing or matching of personal data from multiple sources?**

*NB: This is an especially important factor. Issues arise in relation to data quality, the*

*diverse meanings of superficially similar data-items, and the retention of data beyond the very short term.*

**No** This project allows the same information to be processed and stored in different ways but does not change linking or cross-referencing of data from multiple sources.

**(10) Does the project relate to data processing which is in any way exempt from legislative privacy protections?**

*NB: Examples include law enforcement and national security information systems*

**No** No there is no known exemption from Legislative privacy protections

**(11) Does the project's justification include significant contributions to public security measures?**

*NB: Measures to address concerns about critical infrastructure and the physical safety of the population usually have a substantial impact on privacy. Yet there have been tendencies in recent years not to give privacy its due weight. This has resulted in tensions with privacy interests, and creates the risk of public opposition and non-adoption of the programme or scheme.*

**No** There is no contribution to public security from this project.

**(12) Does the project involve systematic disclosure of personal data to, or access by, third parties that are not subject to comparable privacy regulation?**

*NB: Disclosure may arise through various mechanisms such as sale, exchange, unprotected publication in hard-copy or electronically-accessible form, or outsourcing of aspects of the data-handling to sub-contractors.*

**Y/N**

#### Definitions

**Anonymous** service user: The information collected about and from the citizen makes it impossible to identify the individual.

**Pseudonymous** service user: The citizen is not directly identifiable as an individual e.g. they use an alias to consume the service. However the information collected about and from the citizen may still contain identifiers which could be linked to identify the individual.

## Draft Privacy Impact Assessment Relating to the Proposed Project – Agile working for Social Care teams (20/02/18)

### 1. Will the project involve the collection of new information about individuals?

Information is currently collected about individuals, but improved technology will offer opportunities to do direct work recording conversations with citizens and will allow direct electronic recording of visit notes and decisions

It will be possible to take photos of children, their families and their homes with the new technology. This is compliant with best practice social care relating to recording the lives of looked after children and is a statutory responsibility of the Council

It is hoped that electronic signatures will be enabled allowing quicker and more direct authorisation and agreements to be reached with service users and to reduce paper copies of documents.

### 2. Will the project compel individuals to provide information about themselves?

There will be no new requirement placed on service users to provide information.

### 3. Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information?

It is not envisaged that information about individuals will be disclosed to organisations or people who have not previously had routine access to the information as a result of this project

### 4. Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?

We plan to enable electronic signatures

We plan to enable taking photographs

### 5. Does the project involve you using new technology that might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.

It is not envisaged that this project will involve new technology that is privacy intrusive

**6. Will the project result in you making decisions or taking action against individuals in ways that can have a significant impact on them?**

Yes decisions are made as a result of social care visits that have significant impact on individuals including children, adults and families – this is currently the case, and this project does not change the type of decisions or action that is made.

**7. Is the information about individuals of a kind particularly likely to raise privacy concerns or expectations? For example, health records, criminal records or other information that people would consider to be private.**

All information held on mobile devices is held securely and uploaded to the main database once the BCC member of staff returns to an office base. There are no new privacy concerns or expectations, in the future information will be recorded electronically while the member of staff is out visiting.

**8. Will the project require you to contact individuals in ways that they may find intrusive?**

The project may increase the ways the council can contact individuals which they may find less intrusive eg by text. This would be managed with their permission.

## Consultation

**1. Who is involved in this project/change? Please list stakeholders, including internal, external, organisations (public/private/third) and groups that may be affected by this system/change.**

**2. How will you carry out the consultation? You should link this to the relevant stages of your project management process.**

*Please provide your answers here:*

## Data being collected

1. What data is being collected, shared or used?			2. Justifications? There must be justification for collecting the particular items and these must be specified here – consider which data items you could remove, without compromising the needs of the project?
Personal data	Yes	N/A	Justification
Name	✓		This is not new data being collected – it is already held on BCC databases. The data will be accessed via a mobile device eg a tablet in order to work with the Service users.
Any ID number e.g. Passport number, NI, NHS, internal ID.	✓		
Location data (e.g. Address)	✓		
Online identifiers*		✓	
Physical data		✓	
Physiological data		✓	
Information relating to the financial affairs of the individual		✓	
Information relating to the family of the individual and the individuals lifestyle and social circumstances	✓		May be held in the notes section of the Liquid Logic system
Racial origin	✓		Personal details may be held in the Social care ICT system
Ethnic origin	✓		Personal details may be held in the Social care ICT system
Political opinions		✓	
Information relating to the individual's religion or other beliefs		✓	
Philosophical beliefs		✓	
Information relating to the individual's membership of a trade union		✓	
The processing of genetic data		✓	
Biometric data identifiers e.g. Voice, CCTV images		✓	
Information relating to the individual's physical or mental health or condition	✓		Information relating to citizens social care needs will be held in the Social Care ICT system
Information relating to the individual's sexual life		✓	
Information relating to any offences committed or alleged to be committed by the individual	✓		Information relating to citizens social care needs will be held in the Social Care ICT system
Information relating to criminal proceedings, outcomes and sentences regarding the individual	✓		Information relating to citizens social care needs will be held in the Social Care ICT system



Information which relates to the education and any professional training of the individual		√	
Employment and career history		√	
Sexual orientation	√		Information relating to citizens social care needs will be held in the Social Care ICT system
Genetic data		√	

\*Online identifiers - cookies, IP addresses, radio frequency ID tags, applications etc.

## 6. Information Flows and Business Processes

Describe the information flows of the project. Detail the collection, use, storage and deletion of the information. Explain who it is obtained from and disclosed to and who will have access to it. Identify the potential future uses of information, even if they are not immediately necessary. Identify how many individuals are likely to be affected by the project.

This process can help to identify potential 'function creep' - unforeseen or unintended uses of the data (for example data sharing). Consult with the people, who will be using the information, identify any practical implications.

*Please insert visual representation here.*

To be identified as the new technology becomes available.

The mobile applications are designed so that citizen records are downloaded onto the mobile device eg tablet before a visit, and information recorded at the visit is uploaded onto the main database on return to the office base. Data is not stored on the mobile device beyond this.

## Privacy Assessment

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	Question	Response
Legal compliance – is it fair and lawful?	1. Is the processing of individual’s information likely to interfere with the ‘right to privacy’ under <a href="#">Article 8 of the Human Rights Act</a> ?	<b>No</b>
	2. It is important that individuals affected by the initiative are informed as to what is happening with their information. Is this covered by fair processing (Privacy Notices) information already provided to individuals or is a new or revised communication needed?	<i>To be confirmed</i>
	3. If you are relying on consent to process personal data, how will consent be obtained and recorded, what information will be provided to support the consent process and what will you do if permission is withheld or given but later withdrawn?	<i>To be confirmed</i>
	4. Does the project involve the use of existing personal data for new purposes?	<b>No – there is no intention of using existing data for new purposes. The existing data will be used in a more direct way with service users as it will be available during visits to citizens homes</b>
Purpose	5. Are potential new purposes likely to be identified as the scope of the project expands?	<b>This is possible and it is expected that electronic signatures will be introduced which it is hoped will improve service delivery. A photo policy will be required</b>
	6. Is the information you are using likely to be of good enough quality for the purposes it is used for?	<b>Yes</b>
Adequacy	7. Will any of the data be classed as Open Data?	<b>No</b>

	8. Are you able to amend information when necessary to ensure it is up to date?	<b>Yes – the mobile devices will enable this to happen and for information to be held in real time.</b>
Accurate and up to date	9. How are you ensuring that personal data obtained from individuals or other organisations is accurate?	<b>BCC professional conduct during visits/interviews</b>
	10. What are the retention periods for the personal information and how will this be implemented?	<b>To be confirmed</b>
Retention	11. Are there any exceptional circumstances for retaining certain data for longer than the normal period?	<b>Looked after children can expect the authority will hold data about their childhood for their lifetime. This needs to be planned and a policy will be needed.</b>
	12. How will information be fully anonymised or destroyed after it is no longer necessary?	<b>To be confirmed</b>
	13. How will you action requests from individuals (or someone acting on their behalf) for access to their personal information once held?	See above – policy required
Rights of the individual	14. How will you locate, isolate, delete or restrict access to the data of an individual who has exercised their right to erasure or restriction of processing?	See above – policy required
	15. How will you locate, isolate and provide data to an individual who requests their data is provided in machine readable form for transfer to another data controller – i.e. the right of portability? This right applies where either contract or consent is used as the legal basis for processing.	See above – policy required
	16. What procedures are in place to ensure that all staff with access to the information have adequate information governance training?	See above – policy required

Appropriate technical and organisational measures	17. If you are using an electronic system to process the information, what security measures are in place?	Mobile devices have penetration testing and are subject to ICT standard security measures including remote disablement of lost or stolen devices, password protection.
	18. How will the information be provided, collated and used?	To be confirmed
	19. What security measures will be used to transfer the identifiable information?	To be confirmed
	20. Will individual's personal information be disclosed internally/externally in identifiable form and if so to who, how and why?	To be confirmed where partner working is in place. New policy may be needed for this area of work
Transfers both internal and external including outside of the EEA	21. Will personal data be transferred to a country outside of the European Economic Area? If yes, what arrangements will be in place to safeguard the personal data?	No
	22. Who should you consult to identify the privacy risks and how will you do this? Identify both internal and external stakeholders. <i>Link back to stakeholders on page 3.</i>	To be confirmed where partner working is in place. New policy may be needed for this area of work
Consultation	23. Following the consultation – what privacy risks have been raised? E.g. Legal basis for collecting and using the information, security of the information in transit etc.	A pilot project will include privacy issues

Guidance used	24. List any national guidance applicable to the initiative that is referred to.	n/a
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## Identified privacy and related risks and evaluate privacy solutions



BCC Privacy Impact Assessment Risk Log

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**All risks and privacy solutions above are signed off by the following:**  
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**Project lead:**

Name:	Stephen Beet / Angela Clarke
Position:	Service Leads for Social Care Teams
Organisation name:	The City Council of Bristol

**Information Asset Owner:**

Name:	To be confirmed
Position:	
Organisation name:	The City Council of Bristol

**Data Protection Officer:**

Name:	To Be confirmed
Position:	Data Protection Officer
Organisation name:	The City Council of Bristol

**PIA Review Date:**

Date	20/02/18
Reviewer:	Kate Broadbridge – Project Manager

**MEETING: Cabinet DATE: 06/03/2018**

<b>Title: Education Capital Strategy Next Phase Key Decisions</b>	
<b>Ward(s):</b>	All wards
<b>Author:</b> James Anderson	<b>Job title: Programme Manager</b>
<b>Cabinet lead: Cllr Anna Keen</b>	<b>Director lead: Jacqui Jensen</b>
<b>Proposal origin:</b> <i>Councillor</i>	
<b>Decision maker:</b> Mayor <b>Decision forum:</b> <i>Cabinet</i>	
<b>Purpose of Report:</b> Report will ask for key decisions to enable the continued delivery of the Education Capital Strategy objectives.	
<p><b>Evidence Base: Background to Requested Key Decisions</b></p> <p>On 27th January 2016 the previous Mayor approved the Integrated Education &amp; Capital Strategy (2015-2019) at the Learning City Partnership Board. The Integrated Education &amp; Capital Strategy developed an integrated approach and capital plan across all education sectors and partners. Its key aim is to ensure sufficient places in schools and education settings that are suitable for their purpose and in good condition.</p> <p>In order to continue to meet the key object of sufficiency of places as identified in the strategy, the Council needs to ensure that 13 additional forms of entry in mainstream secondary are made available by 2019. While some of these places will be created in negotiation with providers without the need for capital investment, to ensure sufficiency it is essential to invest in the permanent expansion of Bristol Brunel Academy and the construction of a new 6 form of entry free school in the North. The education capital projects are delivered through Bristol LEP Limited ('BLEP'). In July 2003 the Council entered into a Strategic Partnering Agreement with BLEP providing BLEP with exclusivity to deliver major capital education projects over the value of £500k. The Strategic Partnering Agreement runs until July 2021.</p> <p>The Local Authority submits annual returns to the Education &amp; Skills Funding Agency (ESFA) setting out the basic need for school places. This informs the allocation of Basic Need funding from the ESFA. In 2017/2018 £10,998,116 Education Basic Need Capital Grant was secured from the ESFA for the 2019/20 financial year. The Council also received Special Educational Needs ring fenced Basic Need Grant of £2,521,566 for years 2018/19 to 2020/21. Funding for the new Cathedral School Trust Trinity School will be provided in a grant to the council by the ESFA. The basic needs funding is profiled to be spent in 2019/20 in accordance with the timing of when the grant will be received. Approval is sought to spend this £26.7m Education Basic Need Capital Grant on urgent, essential projects to meet continuing need and ensure sufficient places in schools and education settings that are: suitable for their purpose, sustainable and in good condition. At the time of writing, it is envisaged that the funding will contribute to delivering projects at Bristol Brunel Academy (1FE secondary expansion, estimated value £1.7m) and Trinity Academy, 6 Forms of Entry and Sixth Form (Secondary, estimated value £25m), however this may be subject to change. A summary of the capital projects is attached at Appendix 1. The projects will be delivered through BLEP.</p> <p>Appendix 2 contains data from the place planning team. This identifies the current year 7 capacity within Bristol schools and the projected 'need' based on current year 6 data. The appendix demonstrates that if the proposed projects are not delivered, the City will have failed in its statutory duty to ensure sufficient places are available for Bristol's young people.</p>	
<b>Cabinet Member / Officer Recommendations:</b> To delegate to the Educational Improvement Director authority to spend £26.7m on capital schools projects in consultation with the portfolio holder and S151 officer.	

<b>Revenue Cost: £ 0</b>	<b>Source of Revenue Funding: N/A</b>
<b>Capital Cost: £26.7m</b>	<ul style="list-style-type: none"> <li>• Sources of Capital Funding: £1,200,000 Basic Need Grant 2018/19,</li> </ul>

	<ul style="list-style-type: none"> <li>£25,00,000 ring fenced grant with t&amp;c's from Education &amp; Skills Funding Agency (ESFA) £500k has already been approved under cost code P14794-1008 making total budget £25,500,000</li> </ul>
One off cost <input checked="" type="checkbox"/> Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/> Income generation proposal <input type="checkbox"/>
<b>Finance Advice:</b>	
Bristol Brunel Academy (BBA) – 1FE Secondary Expansion	<b>£1.700m</b>
Trinity Academy – 6FE Free School and Sixth Form in North Bristol	<b>£25.000m</b>
<b>Total</b>	<b>£26.7m</b>
<b>Finance Business Partner: David Tully –Finance Business Partner. Detail at Appendix 3</b>	

<b>Corporate Strategy alignment:</b> Meets 'Keep Bristol working and learning' corporate objective.
<b>Legal Advice:</b> See appendix A2
<b>Legal Team Leader:</b> Sinead Willis, Commercial and Governance Team, I confirm I have provided advice on the report provided to me on 5 February 2018.
<b>City Benefits:</b> See appendix A2
<b>Consultation Details:</b> n/a

<b>DLT Sign-off</b>	Sue Rogers	29.11.17
<b>SLT Sign-off</b>		23.01.18
<b>Cabinet Member sign-off</b>	Cllr Keen	30.01.18
<b>For Key Decisions - Mayor's Office sign-off</b>	Ellie Milone	05.01.18

Appendix A – Further essential background / detail on the proposal	<b>YES</b>
Appendix B – Details of consultation carried out - internal and external	<b>NO</b>
Appendix C – Summary of any engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment	<b>NO</b>
Appendix E – Equalities screening / impact assessment of proposal -	<b>YES</b>
Appendix F – Eco-impact screening/ impact assessment of proposal -	<b>NO</b>
Appendix G – Exempt Information	<b>NO</b>
Appendix H – Legal Advice	<b>YES</b>
Appendix I – Combined Background papers	<b>No</b>



**APPENDIX 1 – Integrated Education & Capital Strategy projects that have developed or progressed with a cost or cost increase over £500,000**

Project	Estimated Project Provision	Project Status
<p><b><u>Bristol Brunel Academy (BBA) – 1FE Secondary Expansion</u></b></p>	<ul style="list-style-type: none"> <li>• Total £1.7m</li> <li>• Additional 30</li> </ul>	<ul style="list-style-type: none"> <li>• In feasibility</li> <li>• Bulge class already in place. These works will allow permanent expansion</li> </ul>
<p><b><u>Cathedral School Trust Trinity Academy – 6FE Free School and Sixth Form in North Bristol</u></b></p>	<ul style="list-style-type: none"> <li>• Total £25m</li> <li>• 900 secondary school places</li> <li>• 300 post 16 places</li> </ul>	<ul style="list-style-type: none"> <li>• ESFA undertaking final feasibility study</li> <li>• Target opening date Sept 2019</li> </ul>

## Appendix A2 – Education Update Cabinet Report Finance, Legal and PR Comments

### FINANCE ADVICE

The proposals relate to two capital projects

- **Bristol Brunel Academy £1.700m** This project is designed to facilitate 80 more pupils being admitted to the school (16 per year group over 5 years) by ensuring that communal areas are sufficient to accommodate that larger intake. Bristol Brunel Academy is one of the schools that is part of the Phase 1A PFI contract, so the delivery of this project will be by way of an Authority Notice of Change (ANC) (ie a contract variation with the PFI provider). The £1.7m cost estimate includes sums to meet the one-off cost of the capital works and to commute the future lifecycle costs of replacing the new facilities over the remaining life of the PFI contract. There will be a revenue implication to this ANC because the on-going operating costs of the new facilities will need to be met by the Council for the remainder of the contract. These revenue costs (unconfirmed to be less than £5k each year at current prices), however, would be much smaller than the additional stakeholder contributions which the school would pay for having 80 additional pupils on roll (c£38k each year at current prices). There are risks that the pupil numbers may not fully materialise, but the additional costs are modest in the context of the other risks facing the long-term impact of the PFI contract.
- **Trinity Academy £25m.** This project is a brand new secondary free school and sixth form in North Bristol for 6 forms of entry. While it is the LA's responsibility to ensure sufficiency of school places, in this instance, the ESFA has decided that the new capacity should be provided by a Free School. The ESFA could have managed this exercise itself but it has chosen to ask the LA to manage this on its behalf. So, there may be advantages in having some control over the provision that is made available locally and there may be capacity and expertise to share, but this project is about delivering a project that has been commissioned by the ESFA. The focus for the financial position is what risks transfer to the LA in taking on this project. The terms and conditions of the grant provided are particularly relevant eg cost overruns, delays, accounting arrangements, unforeseen events. The business case should be clear about whether the LA has the capacity and expertise to deliver it and whether it is clear about the risks it is taking on in managing this £25m project.

### LEGAL ADVICE

#### Procurement

Whenever the Council procure works over certain thresholds it must comply with the Council's internal procurement rules and the Public Contracts Regulations 2015. Provided the strategic partnering agreement with Bristol LEP Limited was procured in compliance with the Regulations and the project falls under the scope of that procurement, this will be lawful.

#### EFSA Grant Agreement and Building Contract

The Council will need to ensure that it can and does comply with all conditions included in the grant agreement with EFSA to ensure this funding is forthcoming. The building contract should as far as possible be 'back to back' with the grant agreement (i.e. the obligation to pay BLEP only arises if the conditions under the grant agreement for releasing the funding are met). Legal advice will need to be sought to ensure this happens.

#### Public Sector Equality Duty

The decision maker must also comply with the Public Sector Equality duty to consider the need to promote equality for persons with "protected characteristics": age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation and have due regard to the need to

i) eliminate discrimination, harassment, and victimisation

ii) advance equality of opportunity

iii) foster good relations between persons who share a relevant protected characteristic and those who do not share it.

In order to do this Cabinet will need to have sufficient information about the effects of the proposed changes to the provision of school places on the aims of the Equality Duty. The Equalities impact assessment is designed to assist with compliance with this duty and so the decision maker must take in to consideration the assessment and the Public sector equality duty before taking the decision

Sinead Willis, Legal Services, Bristol City Council 23.02.2018

# RISK LOG

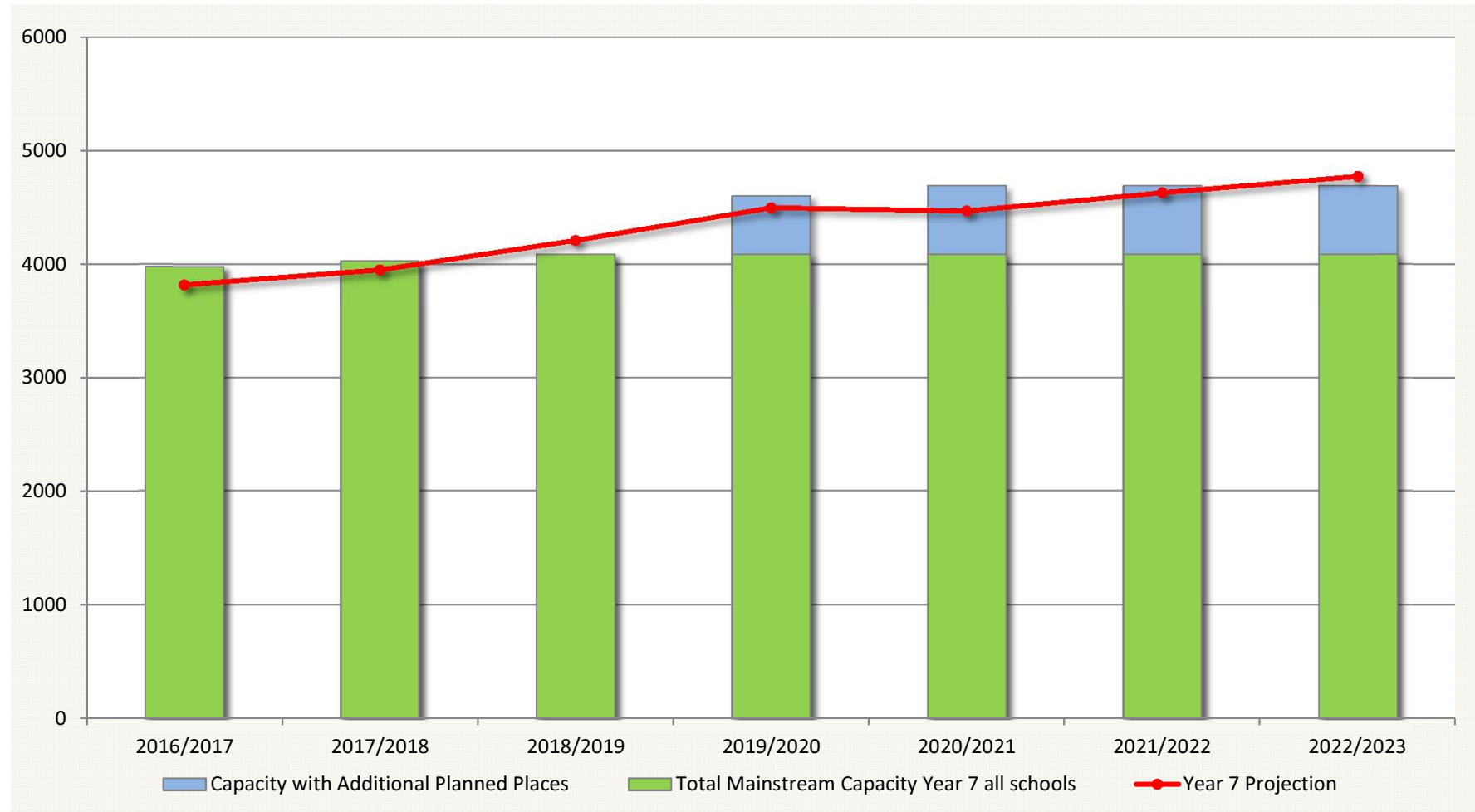
<b>PROJECT NAME:</b>	Trinity Free School - Secondary (North)
<b>PROGRAMME MANAGER:</b>	James Anderson

**KEY: Category** - 'E/F' Economic/Financial'; 'E' Environmental; 'L' Legal/Regulatory; 'O/M' Organisational/management; 'P' Political; 'S/C' Strategic/Commercial; 'T/O' Technical/Operational **Priority Score** - **Red** (12-16: Major/ Catastrophic Risk); **Red/Amber** (6-9: Moderate/ High Risk); **Amber/Green** (3-4: Low/ Moderate Risk); **Green** (1-2: Low Risk)

ID	Type	Category	Description	Risk	Date identified	Countermeasure or response	Priority
Page 108	Risk	L	<p>Risk: Education and Skills Funding Agency (ESFA) grant conditions are not acceptable to the Council.</p> <p>Impact: No agreement to accept grant funding.</p> <p>Consequence: ESFA procure themselves. Slower procurement route leads to delay in school opening. Loss of ability to manage linkages with other council projects in the local area. Loss of control on timescales and project details.</p>	8	07/02/18	<i>Thorough review of grant terms and conditions from legal and technical advisors.</i>	8
2	Risk	O/M	<p>Risk: The Council may not have the infrastructure to deliver the scheme.</p> <p>Impact: Poor delivery.</p> <p>Consequence: Possible delays and overspend. Reputational damage, not enough school places to meet the need.</p>	8	07/02/18	<p><i>The Council has resourced internal project management capacity. The Council also has a strategic partnership in place with the Local Education Partnership that ensures that a robust delivery system is in place to deliver the project. This has been proven over the duration of the partnership.</i></p> <p><i>The ESFA have reviewed the Council's procurement process and are content that adequate infrastructure and processes are in place.</i></p>	4

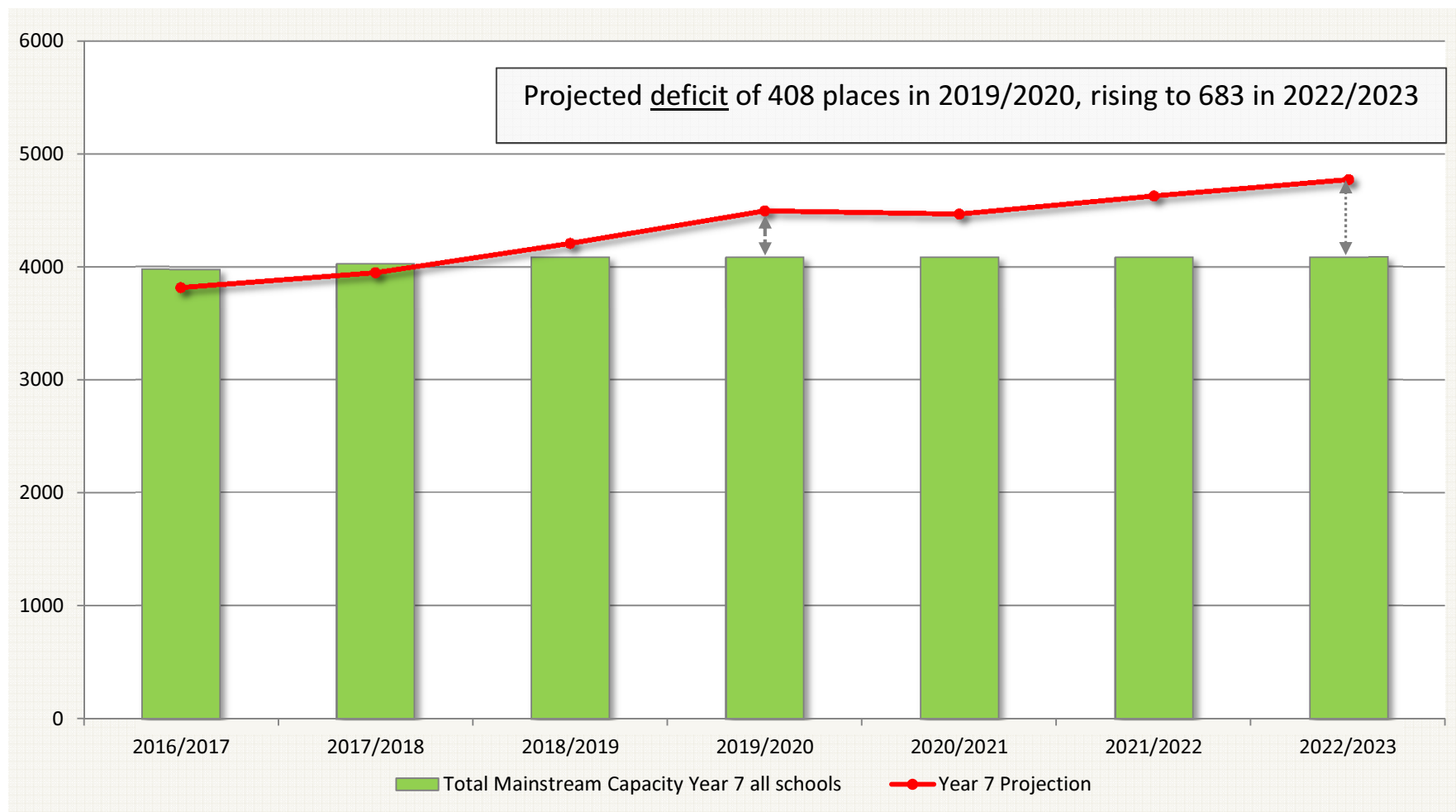
ID	Type	Category	Description	Risk	Date identified	Countermeasure or response	Priority
3	Risk	L	<p>Risk: The scheme is delayed and does not deliver additional Y7 places which are available in 2019.</p> <p>Impact: Insufficient secondary school places for applicants.</p> <p>Consequence: Failure to meet legal duty, negative public relations impact, need to invest capital funds in short term temporary accommodation with abortive costs.</p>	8	07/02/18	<p><i>The ESFA have set aside budget for temporary accommodation in 2019. This still needs to align with the overall programme. Opening in 2019 is achievable providing no further delays are experienced.</i></p>	8
4	Risk	E/F	<p>Risk: ESFA funding is insufficient.</p> <p>Impact: Scope of school build reviewed.</p> <p>Consequence: Value engineered school, contribution requested from the council.</p>	12	07/02/18	<p><i>The ESFA are undertaking a feasibility to define scope and any site issues (abnormals) to confirm their grant proposal. The Council Capital Education Team are working with the ESFA to ensure a high quality piece of work that has a robust figure.</i></p> <p><i>The LEP have reviewed indicative budgets and confirmed they can build to the base construction rate required. Providing the Council is happy that the risks and constraints of the site have been identified and factored into the budget build up as abnormalities, then the Education Capital Team are confident in delivery within programme and budget.</i></p> <p><i>If after feasibility and due diligence by the Council the scheme is considered unviable or with too much risk, then the Council can choose to not accept the grant and ask the ESFA to procure.</i></p>	6

## Sufficiency in Bristol, City Wide, for Year 7 with Additional Future Planned Provision, Compared with Current Provision



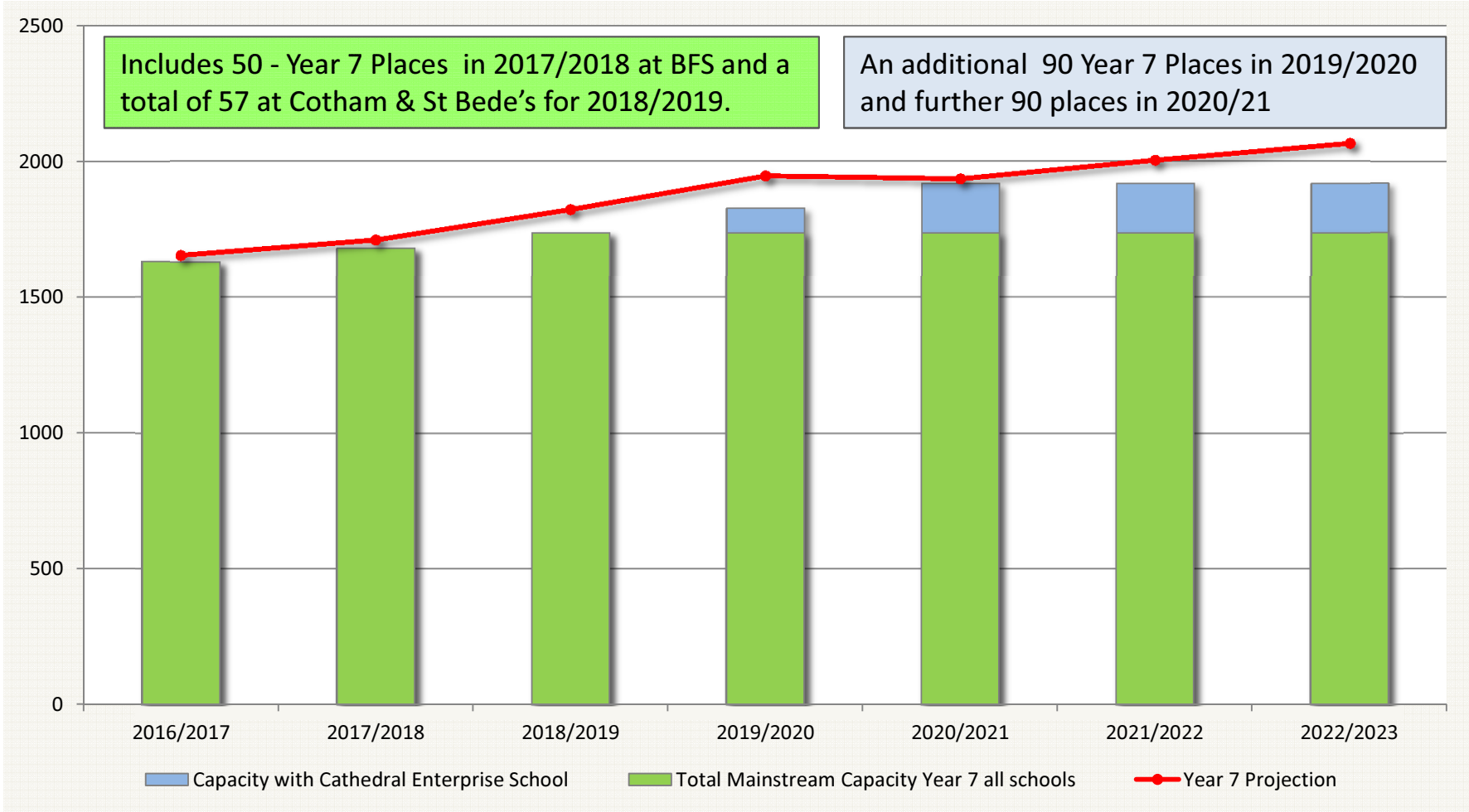
Data Source - BCC School Place Planning - School Projection Model 2017

## Sufficiency in Bristol, City Wide, for Year 7 with Additional Future Planned Provision, Compared with Current Provision



Data Source - BCC School Place Planning - School Projection Model 2017

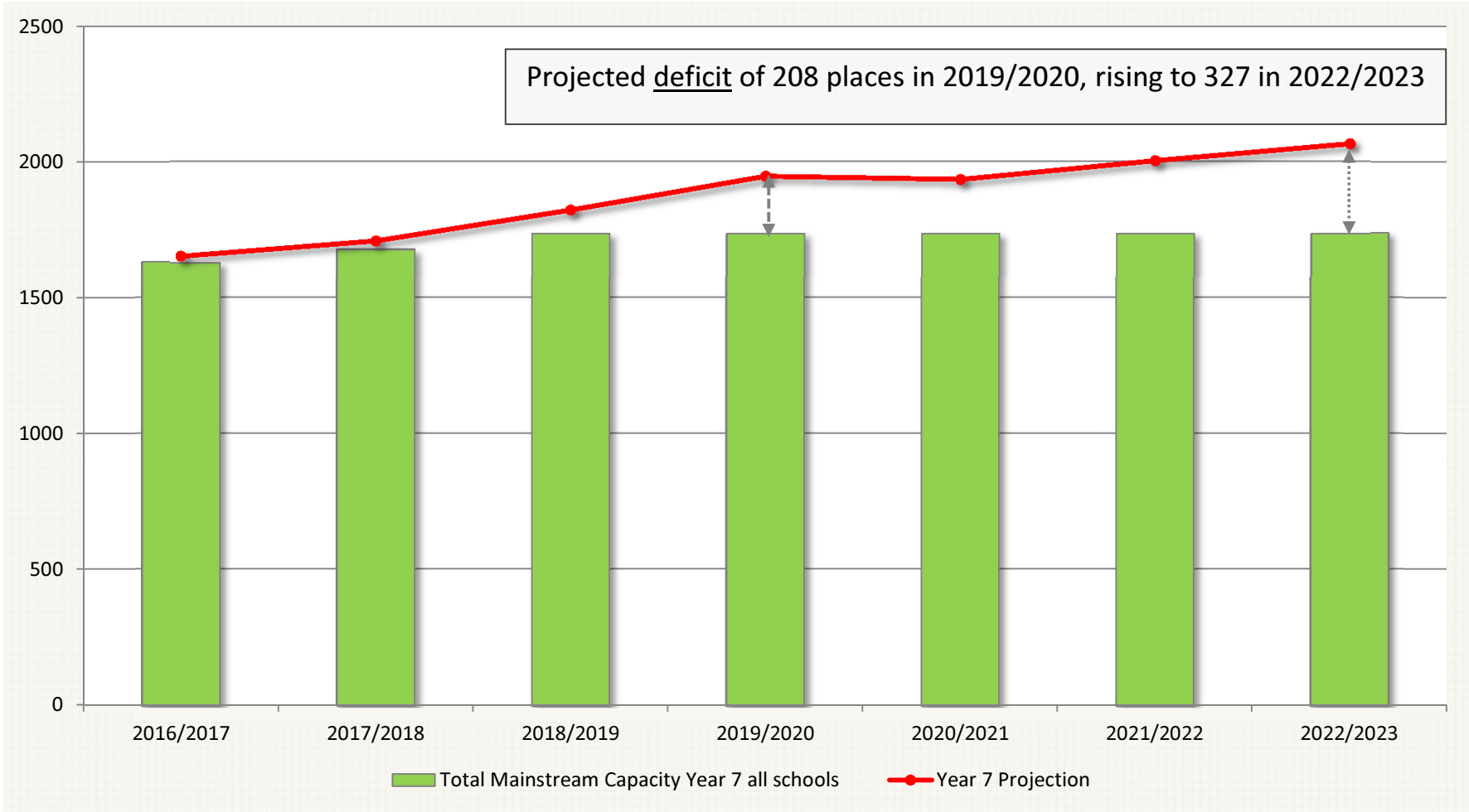
## Sufficiency in Bristol North for Year 7 with Additional Future Planned Provision, Compared with Current Provision



Data Source - BCC School Place Planning - School Projection Model 2017

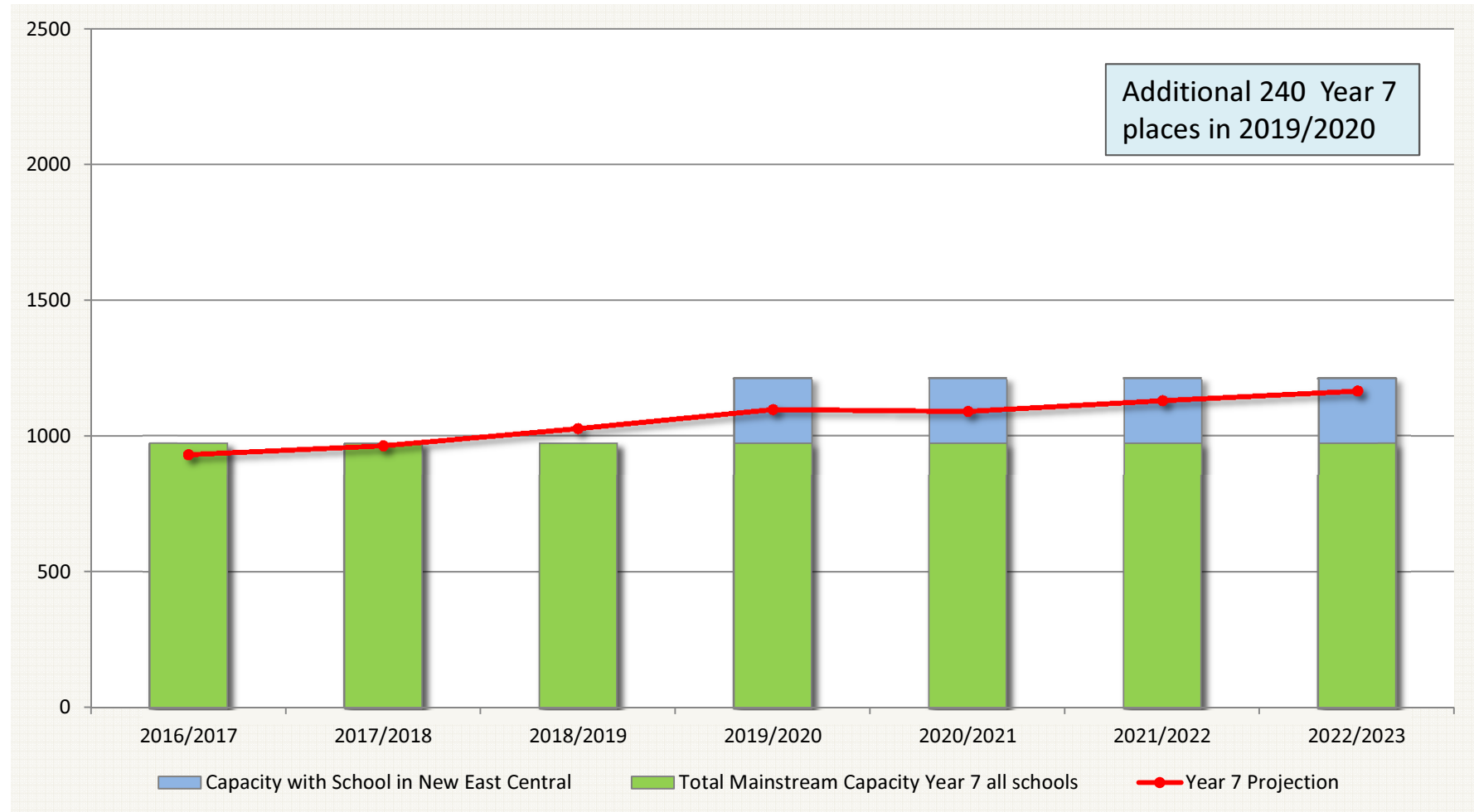


**Sufficiency in Bristol North for Year 7 with Additional Future Planned Provision, Compared with Current Provision**



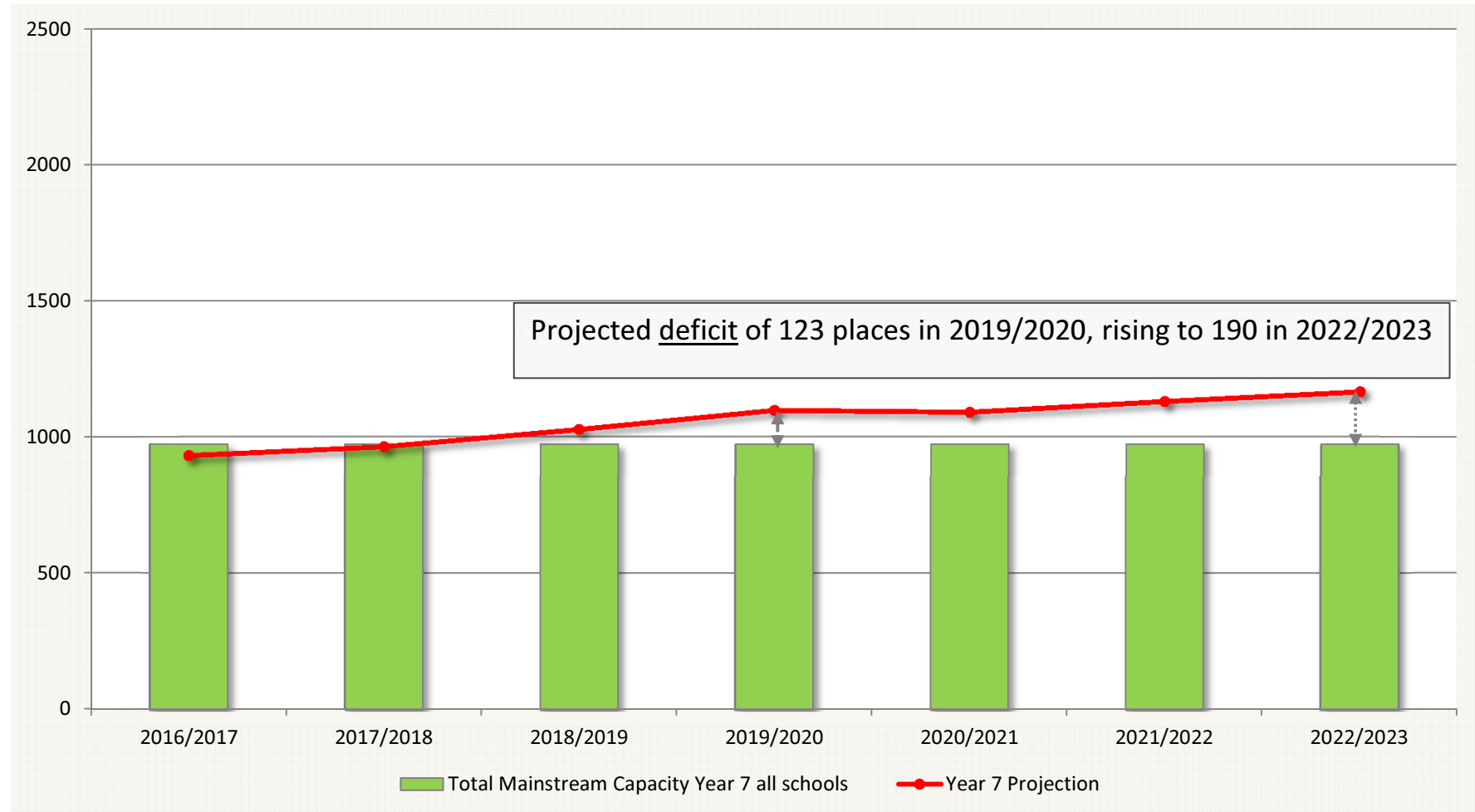
Data Source - BCC School Place Planning - School Projection Model 2017

## Sufficiency in Bristol East Central for Year 7 with Additional Future Planned Provision, Compared with Current Provision



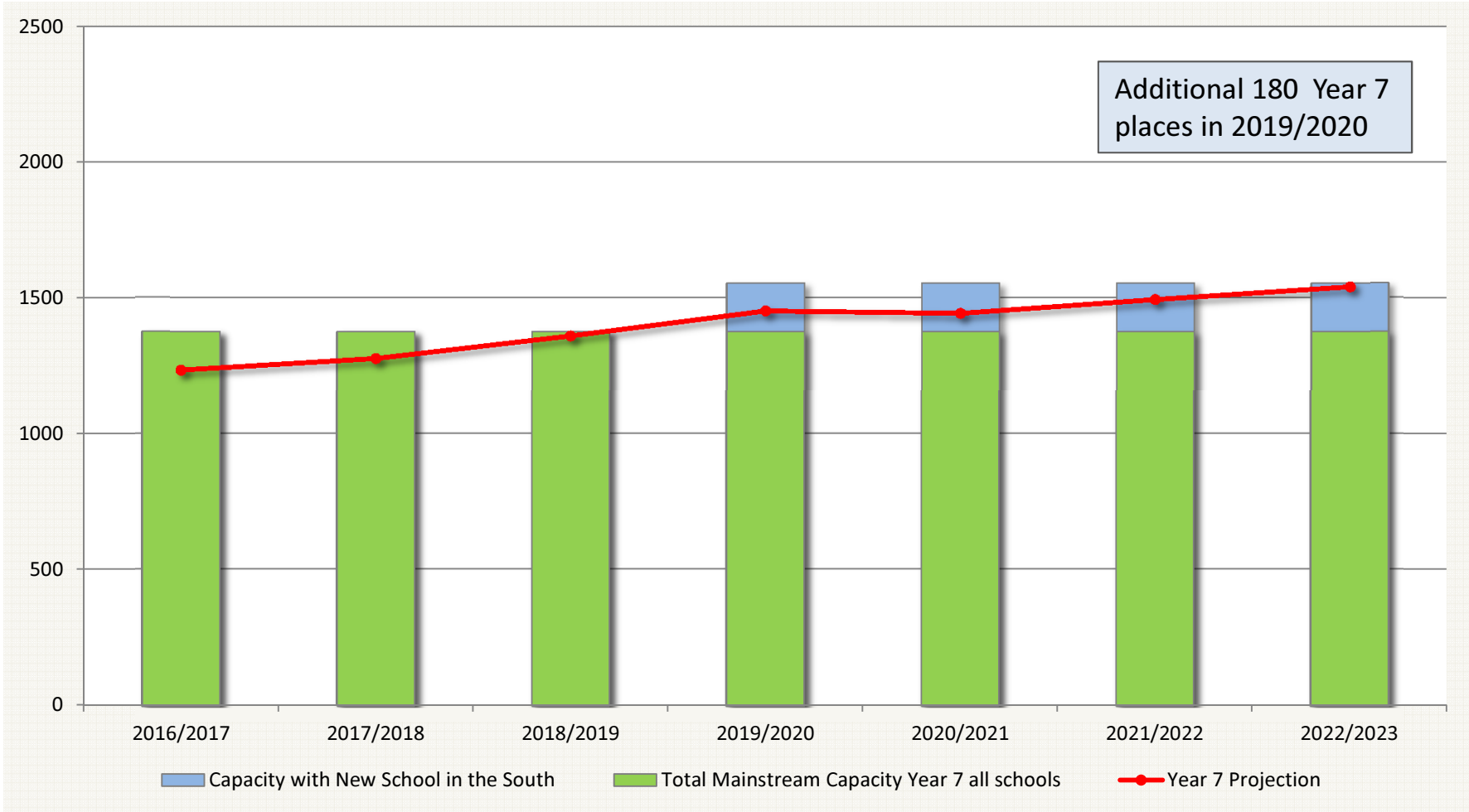
Data Source - BCC School Place Planning - School Projection Model 2017

## Sufficiency in Bristol East Central for Year 7 with Additional Future Planned Provision, Compared with Current Provision



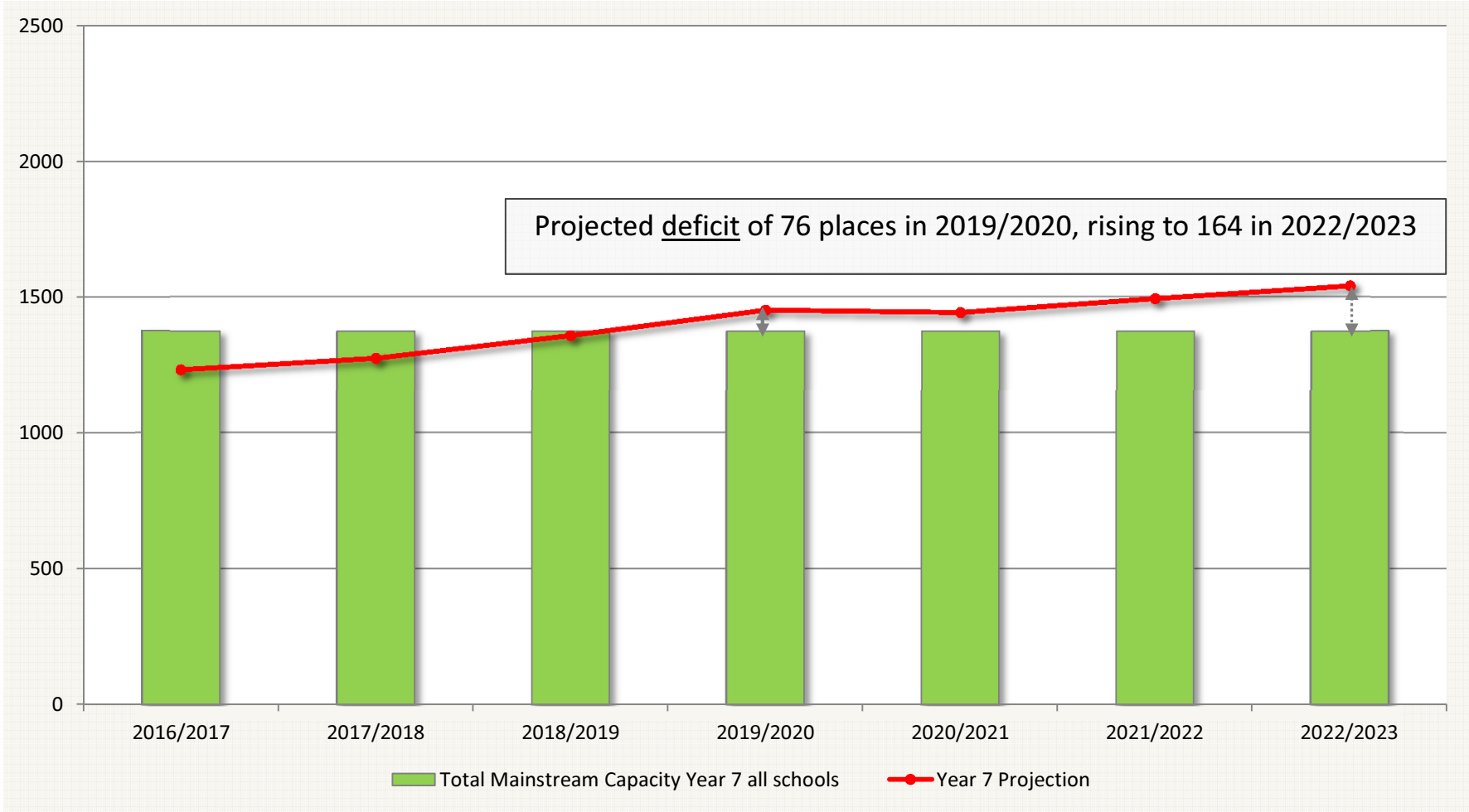
Data Source - BCC School Place Planning - School Projection Model 2017

**Sufficiency in Bristol South for Year 7 with Additional Future Planned Provision, Compared with Current Provision**



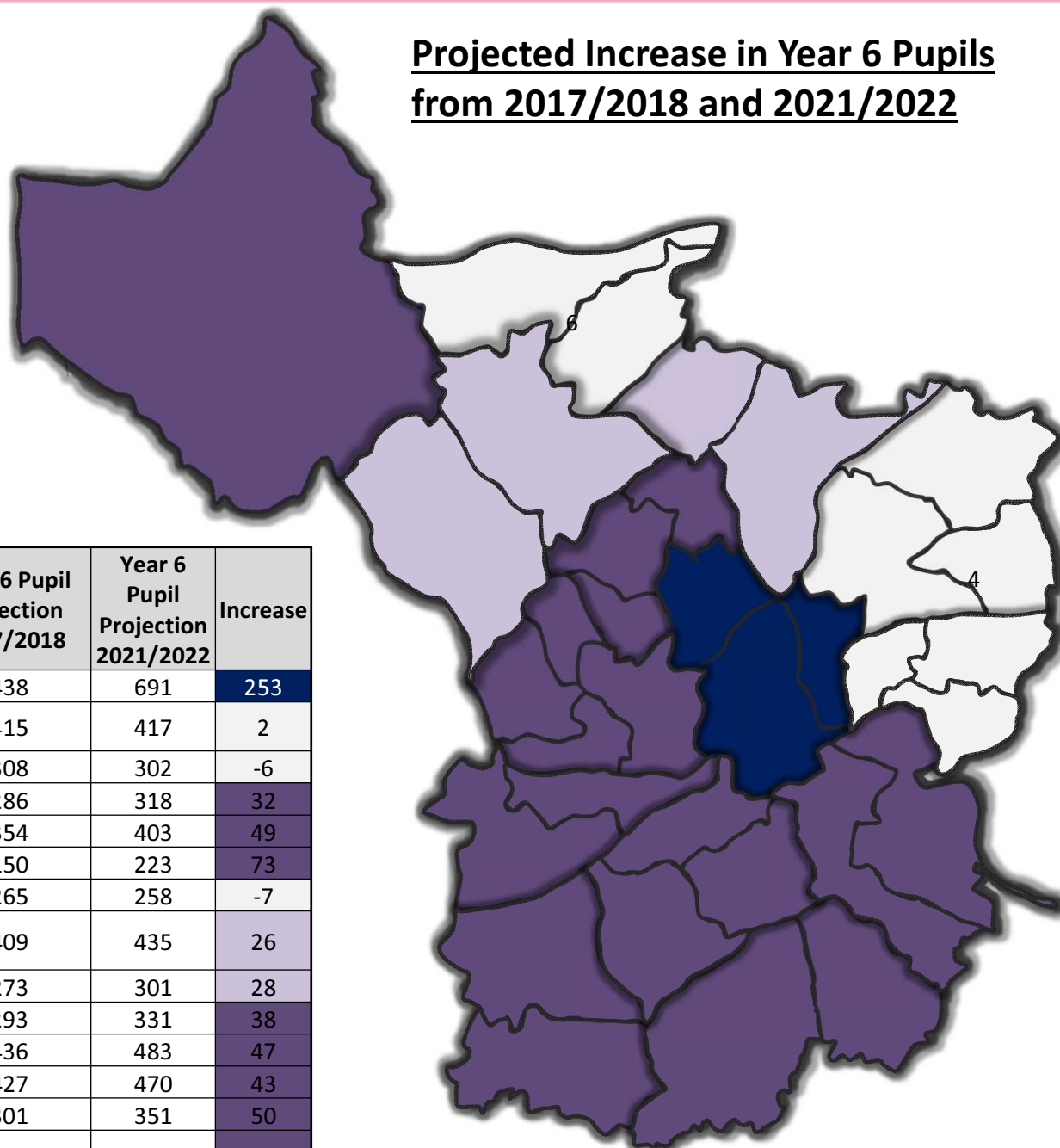
Data Source - BCC School Place Planning - School Projection Model 2017

**Sufficiency in Bristol South for Year 7 with Additional Future Planned Provision, Compared with Current Provision**



Data Source - BCC School Place Planning - School Projection Model 2017

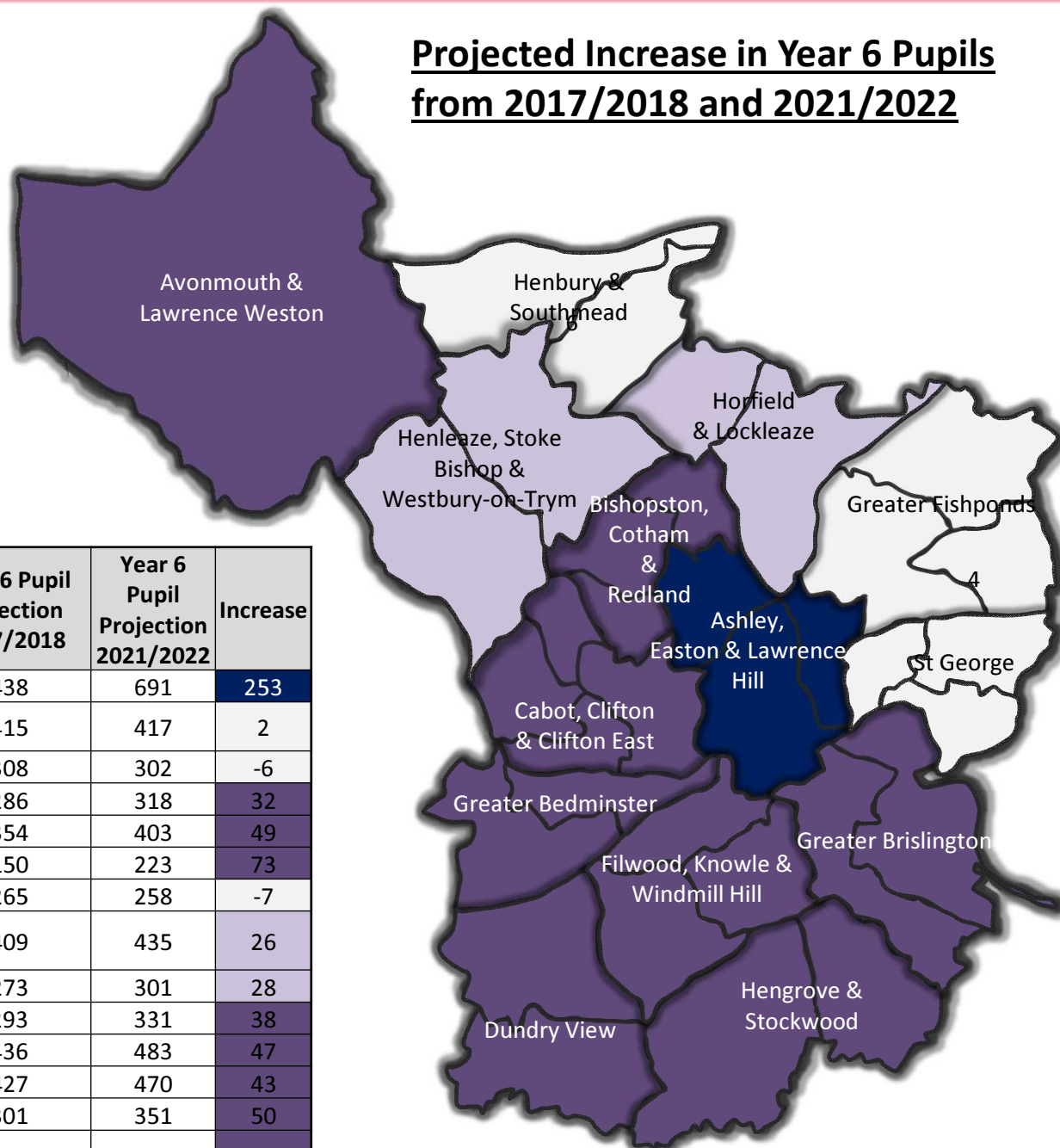
**Projected Increase in Year 6 Pupils  
from 2017/2018 and 2021/2022**



Planning Areas	Year 6 Pupil Projection 2017/2018	Year 6 Pupil Projection 2021/2022	Increase
Ashley, Easton & Lawrence Hill	438	691	253
Greater Fishponds	415	417	2
St George East & West	308	302	-6
Avonmouth & Kingsweston	286	318	32
Bishopston, Cotham & Redland	354	403	49
Cabot, Clifton & Clifton East	150	223	73
Henbury & Southmead	265	258	-7
Henleaze, Stoke Bishop & Westbury-on-Trym	409	435	26
Horfield & Lockleaze	273	301	28
Brislington	293	331	38
Dundry View	436	483	47
Filwood, Knowle & Windmill Hill	427	470	43
Greater Bedminster	301	351	50
Hengrove & Stockwood	251	289	38

Data Source - BCC School Place Planning - School Projection Model 2017

**Projected Increase in Year 6 Pupils  
from 2017/2018 and 2021/2022**



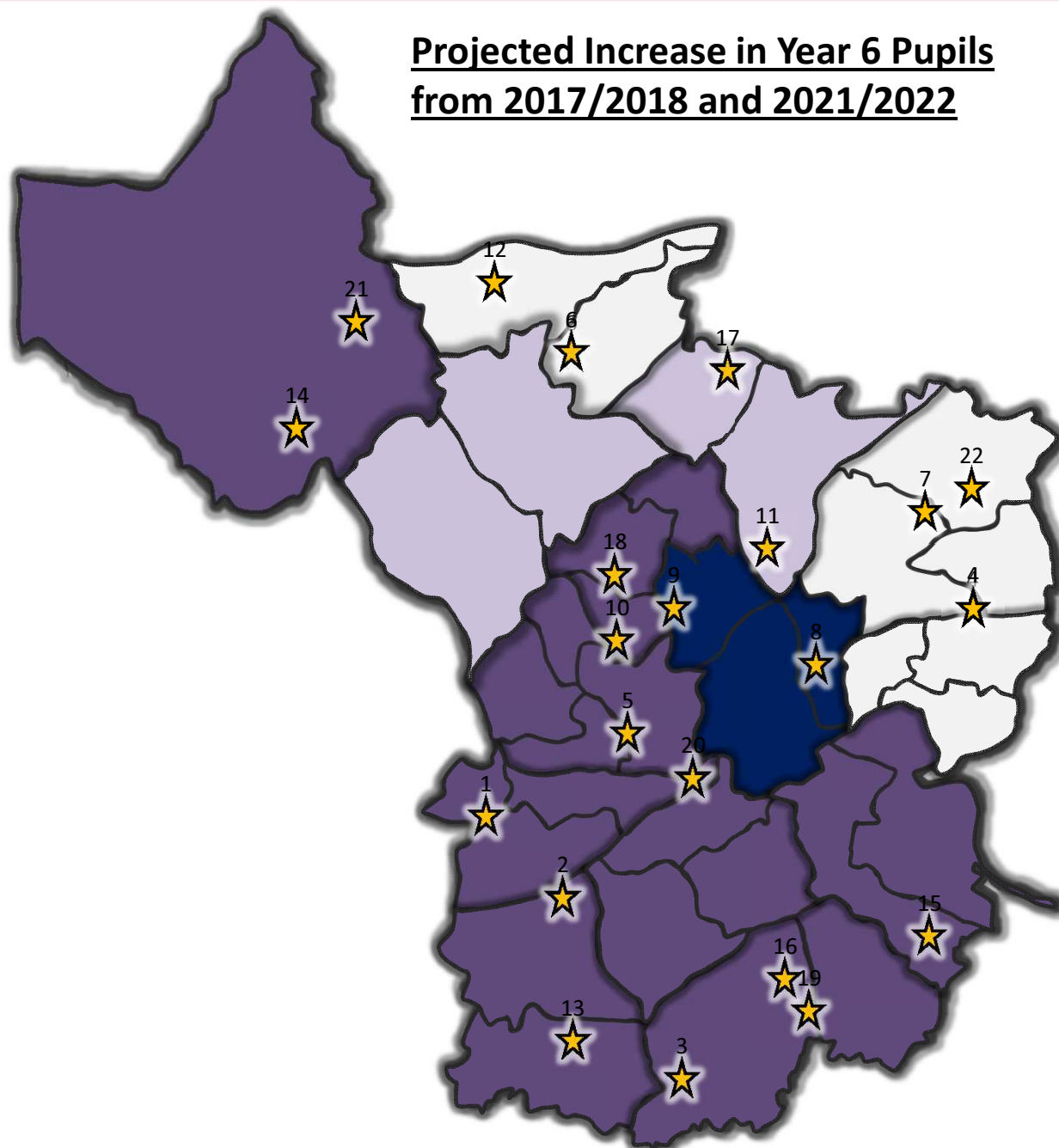
Planning Areas	Year 6 Pupil Projection 2017/2018	Year 6 Pupil Projection 2021/2022	Increase
Ashley, Easton & Lawrence Hill	438	691	253
Greater Fishponds	415	417	2
St George East & West	308	302	-6
Avonmouth & Kingsweston	286	318	32
Bishopston, Cotham & Redland	354	403	49
Cabot, Clifton & Clifton East	150	223	73
Henbury & Southmead	265	258	-7
Henleaze, Stoke Bishop & Westbury-on-Trym	409	435	26
Horfield & Lockleaze	273	301	28
Brislington	293	331	38
Dundry View	436	483	47
Filwood, Knowle & Windmill Hill	427	470	43
Greater Bedminster	301	351	50
Hengrove & Stockwood	251	289	38

Data Source - BCC School Place Planning - School Projection Model 2017

**Projected Increase in Year 6 Pupils  
from 2017/2018 and 2021/2022**

**Bristol Schools**

1	Ashton Park School
2	Bedminster Down School
3	Bridge Learning Campus
4	Bristol Brunel Academy
5	Bristol Cathedral Choir School
6	Bristol Free School
7	Bristol Metropolitan Academy
8	City Academy Bristol
9	Colston's Girls' School
10	Cotham School
11	Fairfield High School
12	Henbury School
13	Merchants' Academy
14	Oasis Academy Brightstowe
15	Oasis Academy Brislington
16	Oasis Academy John Williams
17	Orchard School Bristol
18	Redland Green School
19	St Bernadette Catholic Secondary
20	St Mary Redcliffe and Temple
21	St.Bede's Catholic College
22	Steiner Academy Bristol



Data Source - BCC School Place Planning - School Projection Model 2017



End

# BRISTOL LEARNING CITY

## Appendix 4 Equality Impact Assessment

Name of policy, project, service, contract or strategy being assessed    Integrated Education and Capital Strategy

Directorate and Service    People Directorate, Education and Skills

Names and roles of officers completing the assessment    Place Planning Manager, Education and Skills

Main contact telephone number    0117 922 4565

Date    30 December 2015

	Key Questions	Notes / Answers	Any actions needed? By whom?
1	Is this a new policy, project, service, contract or strategy or a review of an existing one?	This is a new strategy, building on the work undertaken under the previous School Organisation Strategy approved by Cabinet in 2013.	Mayor to approve the Integrated Education and Capital Strategy
2	What is the main purpose of the policy, project, service, contract or strategy?	Under the Education Act 1996 s14 The Local Authority has a duty "...to ensure the provision of 'sufficient schools' for the provision of primary and secondary education in their area".  In addition the Strategy addresses requirements for suitable and sufficient provision across all education sectors.	There will be a need to invest capital funding in the provision of additional school places to meet the forecast demand
3	What are the main activities of the policy, project, service, contract or strategy?	To provide enough school places and to increase diversity and choice of education provision.	There will be a need to invest capital funding in the provision of additional school places to meet the forecast demand
4	Who are the main beneficiaries? Whose needs are it designed to meet?	Children in the age range of birth to 18, or 25 for those with SEN.	There will be a need to invest capital funding in the provision of additional school places to meet the forecast demand
5	Which staff carries out the policy, project, service, contract or strategy?	The delivery of individual projects will vary according to requirements.	The Education and Skills division of the People Directorate will work with colleagues in the Economy Division of the Place Directorate to deliver projects identified through the Strategy.

# BRISTOL LEARNING CITY

	Key Questions	Notes / Answers	Any actions needed? By whom?
6	Are there areas of the policy or function that could be governed by an officer's judgement? Eg. Home visits "where appropriate". If so, is there guidance on how to exercise this to prevent any possible bias/prejudice creeping in?	No	None
7	Is the Council working in Partnership with other organisations to implement this policy or function? Should this be taken into consideration? Eg. Agree equalities monitoring categories. Should the partnership arrangements have an EqIA?	<p>The City Council is working with many different partners including individual schools, Multi Academy Trusts and government departments.</p> <p>The City Council is working in partnership with the Local Education Partnership (LEP) and other construction partners in relation to the build elements of a number of schemes.</p>	None
8	<p>Taking the six strands of equalities,</p> <p>Do you have any initial thoughts that any of the six equalities strands have particular needs relevant to the policy or function?</p> <p>Or is there anything in the policy, project, service, contract or strategy that you can think of at this stage that could discriminate or disadvantage any groups of people? Do any other specific groups have particular needs relevant to the policy, project, service, contract or strategy?</p>	<p>Gender (include Transgender): None            Disability: See below            Age: None            Race: None            Sexual Orientation: None            Faith/Belief: None</p> <p>The Integrated Education and Capital Strategy addresses aspects of inequality that currently exist in terms of access to local education provision within localities, including for children with additional learning needs and also in terms of meeting DDA requirements when capital projects are delivered.</p>	<p>The design of new provision will increase accessibility for students, staff and other stakeholders with mobility or sensory requirements. This will be addressed during the design and planning stages.</p> <p>The location of any new provision should ensure it meets the needs of local communities. This will be assessed through the Programme Management Group.</p>
9	<p>Did you use any data to inform your initial thoughts above?</p> <p>What data do you already have?</p>	Data from the school admission team and projected population data indicates that if additional provision is not made many sectors detailed above will be negatively impacted as they would have to find alternative education possibly outside of their communities and accessibility.	None
10	Are there gaps in the data that require you to do further work? What are these gaps?	None	None

**MEETING: Cabinet** DATE: 06/03/2018

<b>Title: Employment Support Innovation Fund</b>	
<b>Ward(s):</b>	All
<b>Author: Jane Taylor</b>	<b>Job title: Head of Service (Employment, Skills and Learning)</b>
<b>Cabinet lead: Cllr Anna Keen</b>	<b>Director lead: Sue Rogers</b>
<b>Proposal origin: BCC Staff</b>	
<b>Decision maker: Officer</b> <b>Decision forum: Cabinet</b>	
<b>Purpose of Report: To secure approval for delivery of the WECA grant funded Employment Support Innovation Fund Pilot (Future Bright Programme)</b>	
<p><b>Evidence Base:</b>            The DWP funded “Employment Support Innovation Programme” has been awarded to the West of England Combined Authority (WECA). Bristol City Council led on the development of the bid, drawing upon best practice from the successful HYPE West programme to create a highly effective model that will help individuals who are in low paid and insecure employment to achieve successful in-work progression.</p> <p>The programme will enable Bristol City Council and partner providers to fulfil Mayoral social mobility commitments by working with 1500 individuals who are employed, in receipt of in work benefits, including residents living in social housing or in temporary accommodation. The Council’s Employment Support Team has drawn up a joint delivery plan with the Housing and Temporary Accommodation Teams as well as the City’s Social Landlords and employers. The Employment Support Innovation Programme will result in participants enhancing their career prospects and skills levels, increased household income and a reduction in the dependency upon in work benefits and Council assistance.</p> <p>The programme is piloting new approaches to support 40% (600) participants achieve a reduction in their benefit claims for WTC, Universal Credit, Housing Benefit and Child Tax Credits. This will potentially have the effect of reducing Council Tax Reduction and Housing Benefit claimants as well as a reduction in the level of rent arrears. Innovation Fund income will also be used to cover the cost of staff salaries which will contribute an MFTP £100K reduction in General Fund spend over the next two financial years.</p> <p>This programme involves minimal financial risk to the Council. There are no output related payments and we will be operating a full cost recovery model. If any under-performance occurs there will be a period of support and remedial planning to achieve improvement. In the event that funding has to be reallocated, notice will be given to enable scale down. Redundancy costs will not be incurred as project staff will be employed for less than 2 years.</p>	
<p><b>Cabinet Member / Officer Recommendations:</b>            To proceed with the delivery of the Employment Support Innovation with immediate effect.</p>	

<b>Revenue Cost: £ 1.823m over 18 months</b>	<b>Source of Revenue Funding:</b> <i>External Grant Funding through DWP where WECA is the Lead Accountable Body.</i>
<b>Capital Cost: £</b>	<b>Source of Capital Funding:</b> <i>e.g. grant/ prudential borrowing etc.</i>
<b>One off cost</b> <input checked="" type="checkbox"/> <b>Ongoing cost</b> <input type="checkbox"/>	<b>Saving Proposal</b> <input type="checkbox"/> <b>Income generation proposal</b> <input checked="" type="checkbox"/>

**Finance Advice:**  
 The Authority has been invited by WECA to participate in a project which is funded by the DWP. The Authority would receive £1.823m over 18 months, with £0.1m being incurred in 2017/18, £1.1m in 2018/19 and £0.6m in 2019/20. The funding may be used on the following types of expenditure to deliver the performance objectives of the grant: a) direct staff costs, including overheads; b) costs of external contractors or other procured goods and services; c) payments for referrals to the programme from external organisations. Grant payment is quarterly in arrears and is based on actual expenditure, rather

than on performance delivery. The grant conditions do make it clear that the full amount of the grant is not guaranteed if circumstances change (for instance, if the project is not having the desired impact), so the Authority is advised to include break-clauses in any contracts it enters into.

This grant will allow some existing staff costs to be charged against it, thus, making temporary savings of £50k in the revenue budget in each of the next two financial years to assist with the medium term financial plan.

**Finance Business Partner:** David Tully, Interim Finance Business Partner, 12<sup>th</sup> August 2018

**Corporate Strategy alignment:** The Employment Support Innovation Fund Programme aligns itself to the Council's vision of "driving a City of hope and aspiration where everyone can share in its success". It will "focus on empowering people in day-to-day life, helping them live independently of public services in ways which are better for them and for the city as a whole".

**Legal Advice:** Officers need to ensure the terms of the grant agreement with WECA are complied with, in particular that expenditure is limited to the eligible costs detailed in the agreement, as any ineligible costs may not be covered by the grant agreement. If goods works or services are purchased as part of the programme, and the value of the purchases is over the relevant thresholds, then the Council must comply with its own procurement rules and/or the Public Contracts Regulations 2015. The decision maker must comply with the Public Sector Equality duty to consider the need to promote equality for persons with "protected characteristics": age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation and have due regard to the need to i) eliminate discrimination, harassment, and victimisation; ii) advance equality of opportunity; iii) foster good relations between persons who share a relevant protected characteristic and those who do not share it. In order to do this Cabinet will need to be provided with sufficient information about the effects of the programme. The Equalities impact assessment is designed to assist with compliance with this duty and so the decision maker must take in to consideration the assessment and the Public sector equality duty before taking the decision.

**Legal Team Leader:** Sinead Willis, Team Leader, Commercial and Governance Team, I confirm I have provided comments on the report provided to me on 15 January 2018.

**Implications on ICT:**

The likely implications for IT in this paper are 1) Timely provision of IT equipment and system access for the project/support team identified on the paper. 2) Ensuring that any necessary system changes (including web sites & services) are properly implemented. Both of these will require timely engagement with IT

**ICT Team Leader:** Ian Gale, Service Manager ICT Service Delivery and Integration

**City Benefits:** It is intended that this proposal will benefit the city by providing targeted employment and skills support to people in work on low pay so that they can increase their confidence, skills, knowledge and opportunities to progress into more sustainable careers that will enhance household earnings. We anticipate that many of our project participants will be from equalities communities and groups with protected characteristics, including women, BME communities and Disabled people. By helping address in work poverty, it is expected that this programme will also have a positive impact on health inequalities.

**Consultation Details:** In its development, the proposal has been widely discussed with Bristol City Council Housing and Employment Support Teams, Social Landlords, Employers, support and advice agencies and potential participants (see Appendix B)

<b>DLT Sign-off</b>	Jacqui Jensen (Acting Executive Director: Care and Safeguarding)	17/01/18
<b>SLT Sign-off</b>	Jacqui Jensen (Interim Head of Paid Service)	23/01/18
<b>Cabinet Member sign-off</b>	Cllr Anna Keen	22/01/18
<b>For Key Decisions - Mayor's Office sign-off</b>	The Mayor	02/02/18

Appendix A – Further essential background / detail on the proposal	<b>YES</b>
Appendix B – Details of consultation carried out - internal and external	<b>YES</b>

Appendix C – Summary of any engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment	<b>YES</b>
Appendix E – Equalities screening / impact assessment of proposal -	<b>YES</b>
Appendix F – Eco-impact screening/ impact assessment of proposal -	<b>NO</b>
Appendix G – Financial Advice	<b>NO</b>
Appendix H – Legal Advice	<b>NO</b>
Appendix I – Combined Background papers	<b>1. West of England Combined Authority Business Case to DWP</b>  <b>2 WOE Grant Offer Letter from DWP</b>  <b>3. Draft Grant Agreement from WECA to BCC</b>
Appendix J – Exempt Information	<b>NO</b>

### Briefing Note

### Employment Support Innovation Fund

January 2018

#### Background Information

- The WECA Employment Support Innovation Pilot (ESIP) is a £4m initiative funded by the Department for Work and Pensions (DWP).
- Prior to the establishment of WECA, Bristol City Council led on developing the bid and the delivery approach mirrors best practice developed through the HYPE West and Work Zones projects.
- The programme will work with 3,000 individuals resident in Bath and North East Somerset, City of Bristol and South Gloucestershire who are in employment, claiming in-work benefits, including social housing tenants or people who are eligible for social housing.
- The programme seeks to support eligible residents to improve their income and reduce their need to claim in-work benefits by improving their employability skills and qualifications and helping them to secure 'better' work.
- The programme also enables engagement work with employers to improve in-work progression and appropriate employment opportunities.
- The programme has a planned start date of January 2018 and will run as a pilot for two-year period, until the end of December 2019.
- The funding will be provided by DWP to WECA as a grant and will be issued under a Grant letter and a Memorandum of Understanding. The MOU is currently being finalised.
- The agreed delivery approach by WECA is to employ a central project manager, (Sue Dobson), with delivery in each area being led by the three Local Authorities.
- Balance of targets and distribution of funding - Initial analysis of the target group across the WECA area confirms that approximately 50% are in Bristol, with 25% being in BANES and South Gloucestershire. The original bid therefore proposed a 50:25:25 split of KPIs and Budget split, after WECA retains an appropriate amount to cover their central costs.

#### What this means for Bristol?

The Employment Support Innovation Fund Programme aligns itself to the Council's vision of "driving a City of hope and aspiration where everyone can share in its success". It will "focus on empowering people in day-to-day life, helping them live independently of public services in ways which are better for them and for the city as a whole".

The programme will play a part in helping Bristol meet its budget challenge by meeting the target of "40%, (600) participants achieving a sustained reduction in their benefit claims for WTC, Universal Credit, Housing Benefit and Child Tax Credits". This will have the effect of reducing Council Tax Reduction and Housing Benefit claimants as well as a reduction in the level of rent arrears.

## The Bristol Approach

Building upon the best practice and infrastructure developed through delivering HYPE West and the Work Zone projects, a flexible four step customer journey model is developed and applied to the pilot.

1. Working with the Council’s Housing, Temporary Accommodation and Benefits teams, together with social landlords, we will identify potential eligible beneficiaries and develop a targeted marketing programme.
2. The project will directly employ a team of eight Navigators who will be “embedded” into the Council’s Housing, (4) and Temporary Accommodation (2) teams and the larger social landlords, (2). Upon referral, the Navigator will undertake an initial asset based diagnostic, (developed through the Work Zone programme), and develop an individual action plan with the participant.
3. The Navigator will support the participant undertake their personal assistance through regular contact and update. The Navigator will either directly deliver the assistance, (light touch), spot purchase the assistance through the participant’s Personal Budget or utilise existing funded provision.
4. Once the participant has achieved their positive outcomes, (linked to KPI’s below), the Navigator will remain in place to track and support further progression.
5. We intend to work with 400 employers over the life of the project to refer to organisations supporting the upskilling of the skills base within their business to encourage progression. We are also currently investigating a joint project with the Living Wage Foundation (an independent movement of organisations, businesses and people) to promote employers to pledge, (where they can afford to), to pay a wage which is enough for employees to live on.

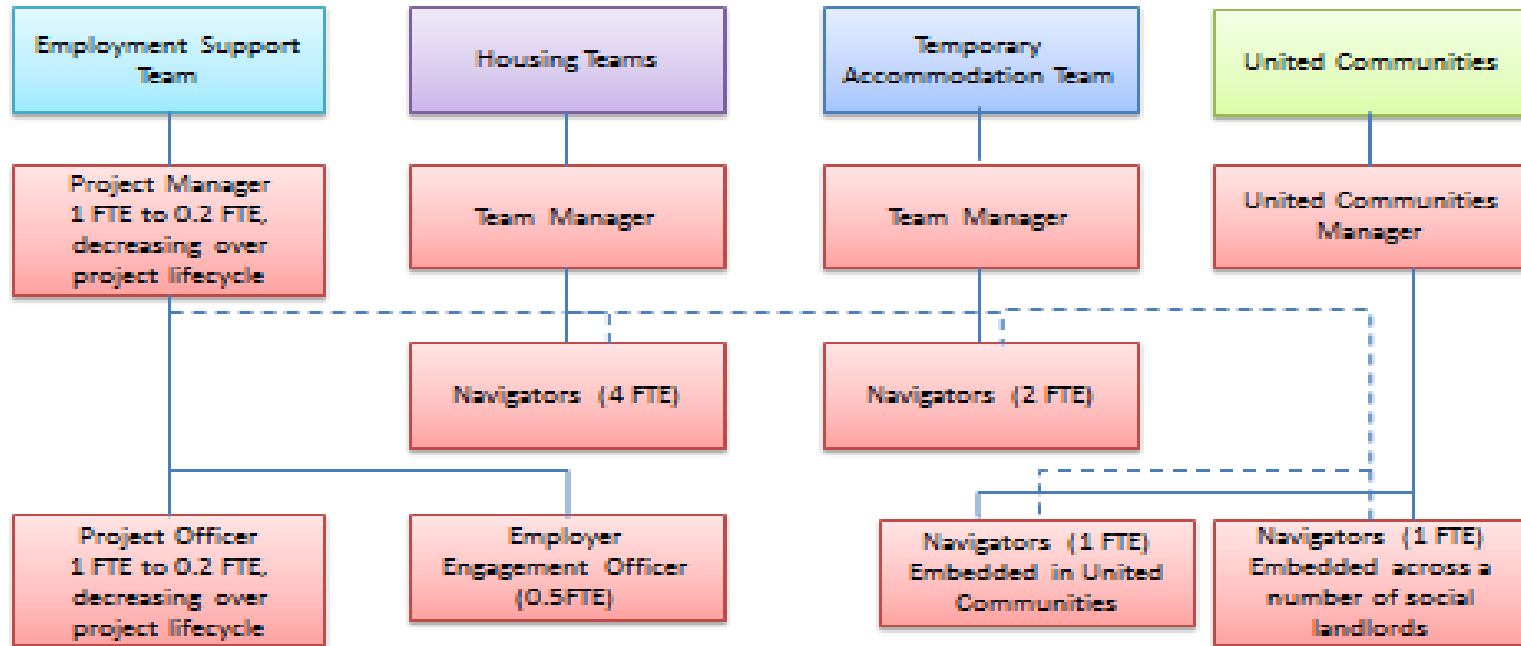
## Key Performance Indicators

	Bristol Target
Summary	
Number of initial contacts	3,000
Number of programme referrals	2,000
Number of participants with an action plan	1,500
Participants have increased their skills through participation in further learning/training	1,000
Individuals (40%) will achieve a sustained reduction in their benefit claims for WTC, Universal Credit, Housing Benefit and Child Tax Credits	600
Employers engaged through the programme	400



<b>Budget</b>										
<b>Income</b>	£169,886	£1,092,244				£561,295				£1,823,425
	17-18	18-19				19-20				
	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Total
<b>Management &amp; Set Up</b>										
Project Manager Salary	£10,000	£5,000	£5,000	£5,000	£5,000	£5,000	£5,000	£2,500	£2,500	£45,000
Project Manager On Costs	£3,500	£1,750	£1,750	£1,750	£1,750	£1,750	£1,750	£875	£875	£15,750
Project Officer Salary	£7,500	£3,750	£3,750	£3,750	£3,750	£3,750	£3,750	£3,750	£3,750	£37,500
Project Officer On Costs	£2,625	£1,313	£1,313	£1,313	£1,313	£1,313	£1,313	£1,313	£1,313	£13,125
Management Costs	£750	£375	£375	£375	£375	£375	£375	£188	£188	£3,375
Legal, Financial and Procurement Costs	£5,050	£0	£0	£0	£0	£0	£0	£0	£0	£5,050
Marketing & Focus Groups	£5,500	£0	£0	£0	£0	£0	£0	£0	£0	£5,500
Office Equipment	£4,800	£0	£0	£0	£0	£0	£0	£0	£0	£4,800
<b>Delivery</b>	£0	£0	£0	£0	£0	£0	£0	£0	£0	£0
Navigator Salaries	£48,000	£48,000	£48,000	£48,000	£48,000	£48,000	£48,000	£48,000	£0	£384,000
Navigator On Costs - (35% of salary)	£16,800	£16,800	£16,800	£16,800	£16,800	£16,800	£16,800	£16,800	£0	£134,400
Navigator Local Management and Coordination	£4,042	£4,042	£4,042	£4,042	£4,042	£4,042	£4,042	£4,042	£0	£32,333
Client Responsive Budget - 80% of starts will access	£25,600	£92,800	£80,000	£99,200	£96,000	£75,200	£11,200	£0	£0	£480,000
Procured Solutions - Monthly in arrears	£7,875	£63,000	£57,750	£95,813	£72,188	£74,813	£22,313	£0	£0	£393,750
Employer Engagement Officer - Salary	£3,770	£3,770	£3,770	£3,770	£3,770	£3,770	£3,770	£3,770	£0	£30,156
Employer Engagement Officer On Costs - (35% of salary)	£1,319	£1,319	£1,319	£1,319	£1,319	£1,319	£1,319	£1,319	£0	£10,555
Employer based living wage programme	£22,756	£22,756	£22,756	£22,756	£22,756	£22,756	£22,756	£0	£0	£159,289
Contingency for redundancies etc	£0	£0	£0	£0	£0	£0	£0	£0	£68,842	£68,842
<b>Total</b>	£169,886	£264,674	£246,624	£303,886	£277,061	£258,886	£142,386	£82,555	£77,467	£1,823,425

## Staffing Structure



**Employment Support Innovation Fund – Details of consultation carried out**

The following internal and external stakeholders have been consulted about the Innovation Pilot and have an opportunity to help shape the WECA business case and/or the Bristol Delivery Model:

<b>External Consultees</b>	<b>Internal Consultees</b>
National DWP	Former Cabinet Member – Claire Hiscott
National Devolution Deal Areas	S151 Officer
DLCG	Bristol Devolution Programme Board
Joint Public Board	Bristol Executive Board
Ways 2 Work Network	Bristol Housing Team
Local DWP	Temporary Accommodation Team
DWP Partners	Employment Skills and Learning Management Team
West of England Combined Authority – WECA Committee, Skills Advisory Board and Skills Officers	First Response Teams / Think Family Delivery Teams
S Gloucestershire Council	Think Family Challenge Group
B&NES Council	Learning City Partnership
N Somerset Council	Adult Social Care Team
Living Wage Foundation	Through Care Team
Workzone Steering Group	Citizen Service Point Team
Bristol and South Gloucestershire Housing Partnership	Procurement Team
United Communities	Community Support Team
Ashley Housing	Economic Development Team
Knightstone Housing	Children’s Centres
West of England Works Project	
Business West	
Buzz Lockleaze	
Hartcliffe and Withywood Ventures	
Business In the Community	
Learning and Work Institute	



## Bristol City Council Equality Impact Assessment Form

(Please refer to the Equality Impact Assessment guidance when completing this form)



Name of proposal	Employment Support Innovation Fund
Directorate and Service Area	People, Employment, Skills and Learning
Name of Lead Officer	Paul Gaunt, Employment Support Manager

### Step 1: What is the proposal?

Please explain your proposal in Plain English, avoiding acronyms and jargon. This section should explain how the proposal will impact service users, staff and/or the wider community.

#### 1.1 What is the proposal?

The DWP funded “Employment Support Innovation Programme” was awarded to the three West of England Combined Authority local authorities and Bristol City Council led on the development of the bid, drawing upon best practice from the successful HYPE West, Care Leaver, Ways2Work and Work Zone projects, which created a highly effective model for helping both unemployed individuals and those who are in insecure or low paid employment.

The programme will work with 1500 individuals who are employed, in receipt of in work benefits including people living in social housing or in temporary accommodation through working in partnership with the Council’s Employment Support, Housing and Temporary Accommodation Teams as well as the City’s Social Landlords and employers. The Employment Support Innovation Programme will result in participants enhancing their career prospects and skills levels, increased household income and a reduction in the dependency upon in work benefits and Council assistance.

The programme will play a part in helping Bristol meet its budget challenge by meeting the target of 40%, (600) participants achieving a sustained reduction in their benefit claims for WTC, Universal Credit, Housing Benefit and Child Tax Credits”. This will have the effect of reducing Council Tax Reduction and Housing Benefit claimants as well as a reduction in the level of rent arrears.

## Step 2: What information do we have?

Decisions must be evidence-based, and involve people with protected characteristics that could be affected. Please use this section to demonstrate understanding of who could be affected by the proposal.

### 2.1 What data or evidence is there which tells us who is, or could be affected?

Use the Source documentation & list out as per example

There are many employed residents in the City who are dependent upon in work benefits to “get by”. The Employment Support Innovation Fund Programme specifically targets people who are:

- Aged 19 or over.
- In full-time or part-time paid employment.
- On entry into the Programme, claiming in work benefits other than Universal Credit (i.e. Working Tax Credit, Child Tax Credit, Housing Benefit, Council Tax Benefit)

The programme aims to have a positive impact on households/individuals, including those from protected characteristic groups.

In developing an inclusive programme and its engagement strategy, quantitative data from a range of sources has been considered to help understand the issues faced by the different equalities groups:

- 2011 Census
- [Housing Delivery – Equalities Digest 2015](#)
- [Population of Bristol Analysis 2017](#)
- BCC Housing Benefit data
- Housing Association data
- Employment Support Team data
- Stat Explore and Nomis data – Government statistics

Consultation has been undertaken with social landlords, the Council’s Housing and Temporary Accommodation teams, employers and voluntary sector organisations.

Due to gaps in data it is difficult to ascertain the protected characteristics of all potential programme participants. In Bristol:

There are 27,478 local authority owned dwelling and 8213 owned by social landlords.  
There are 4509 households claiming housing benefit who are living in social accommodation.

The Council is by far the largest Social Landlord in Bristol. Headline data, (source Housing Delivery Equalities Digest 2015) for the their housing stock is as follows:

	<b>Housing Delivery</b>	
	<b>Number of Tenants</b>	<b>%</b>
<b>Population</b>		
Males	12,273	38.54%
Females	19,746	61.46%
Total number of tenants	32,019	100.00%
<b>Age Groups</b>		
16 – 24	1,141	3.56%
25 – 44	10,610	33.14%
45 – 64	12,046	37.63%
65 – 74	3,954	12.35%
75+	3,708	11.58%
Unknown	560	1.75%
<b>Ethnic Group</b>		
White British	23,775	74.25%
White Other	1,158	3.62%
BME	5,335	16.66%
Unknown	1,751	5.47%
<b>Disability</b>		
Disabled	6,522	20.37%
Mobility Problems	4,330	13.52%
Long Term Illness	4,255	13.29%

	Housing Delivery	
	Number of Tenants	%
<b>Religion</b>		
Christian	12,245	38.24%
Buddhist	104	0.32%
Hindu	41	0.13%
Jewish	20	0.06%
Muslim	2,231	6.97%
Sikh	44	0.14%
Other religion	686	2.14%
No religion	9,509	29.70%
Prefer not to say	598	1.87%
Unknown	6,541	20.43%
<b>Sexual Orientation</b>		
Lesbian/Gay/Bisexual	460	1.44%
Heterosexual	23,109	72.17%
Other	148	0.46%
Prefer not to Say	2,379	7.43%
Unknown	5,923	18.50%
<b>Transgender</b>	35	0.11%

## 2.2 Who is missing? Are there any gaps in the data?

We are unable to collect data on pregnancy / maternity, despite trying a number of sources. Therefore we would welcome the advice of the Equalities Team on how to gather this information.

As the majority of the people in this demographic group will be in various stages of preparing for and taking a temporary break from the labour market and therefore will not be eligible for the programme. We will investigate ways in which we can obtain the data to enable us to target them so that when they return to the labour market, the Employment Support Innovation Fund can support them.



**2.3 How have we involved, or will we involve, communities and groups that could be affected?**

Through delivering a number of successful such as the national award winning HYPE West and Ways2Work programmes, we have developed the WorkZone model in collaboration and consultation with individuals, communities, groups and Government agencies. This track record and delivery model underpinned the original bid to DWP, which resulted in £4m of funding being awarded over a two year period to deliver the programme across the West of England Combined Authority area.

**Step 3: Who might the proposal impact?**

Analysis of impacts on people with protected characteristics must be rigorous. Please demonstrate your analysis of any impacts in this section, referring to all of the equalities groups as defined in the Equality Act 2010.

**3.1 Does the proposal have any potentially adverse impacts on people with protected characteristics?**

No – We have developed a fully inclusive delivery model which underpins the Employment Support Innovation Programme which extends beyond the boundaries of this project and enables us to “plug in” this funding into a significantly wider offer which can uniquely support people with protected characteristics.

**3.2 Can these impacts be mitigated or justified? If so, how?**

Not applicable

**3.3 Does the proposal create any benefits for people with protected characteristics?**

The programme seeks to support eligible residents to improve their income and reduce their need to claim in-work benefits by improving their employability skills and qualifications and helping them to secure ‘better’ work.

Through building a successful track record of winning and delivering nationally funded programmes such as the Employment Support Innovation Fund and HYPE West, Bristol City Council is now leading on the creation of an “ESF Call” to create a £6m European Social Fund Programme to directly support people with learning difficulties into employment across the West of England.

**3.4 Can they be maximised? If so, how?**

The successful delivery of programmes such as the Employment Support Innovation fund will enhance the reputation of Bristol City Council in delivering employment support services to people with protected characteristics and will enable us to lead on and bid for further externally funded support to enhance the programmes we currently offer.

## Step 4: So what?

The Equality Impact Assessment must be able to influence the proposal and decision. This section asks how your understanding of impacts on people with protected characteristics has influenced your proposal, and how the findings of your Equality Impact Assessment can be measured going forward.

<p><b>4.1 How has the equality impact assessment informed or changed the proposal?</b></p>
<p>Feedback through consultation with stakeholders, citizens and service users, has been considered in this EIA and we have amended our proposal in light of this feedback.</p>
<p><b>4.2 What actions have been identified going forward?</b></p>
<p>When the decision to progress the programme is agreed, focus will move to refining and implementing delivery plan to achieve the strategic aims of the programme.</p> <p>Consultation highlighted the need for better communication and ongoing community engagement with the programme. Therefore we will explore ways of making the programme more accessible through working with our stakeholders, delivery partners, employers, social landlords, housing and temporary accommodation teams and will further involve citizens in the development of the delivery plan and monitoring of its progress.</p>
<p><b>4.3 How will the impact of your proposal and actions be measured moving forward?</b></p>
<p>The actions and outcomes identified in the Employment Support Innovation Programme, and any actions and outcomes identified in subsequent delivery plans will be monitored by the Programme's Steering Group, the DWP and the West of England Combined Authority through an established monitoring plan.</p> <p>Performance targets and monitoring against Equalities groups will feed into the quarterly formal review of the delivery plan and subsequent strategies.</p>

<p>Service Director Sign-Off:</p>	<p>Equalities Officer Sign Off:</p>
<p>Date:</p>	<p>Date:</p>

# Employment Support Innovation Pilot

## Business Case

February 24<sup>th</sup> 2017

# Introduction

This business case is being submitted on behalf of the West of England Combined Authority. It has been developed and produced by lead partner agencies, including Bath and North East Somerset Council, Bristol City Council; South Gloucestershire Council, the Local Enterprise Partnership and Jobcentre Plus (Avon, Severn and Thames District).

Our Innovation Pilot will obtain fresh and critical insight into people in work and in receipt of Working Tax Credit/Universal Credit who are also social housing tenants. The intended outcome of our pilot is to maximise participation of our local workforce in the economy and also provide robust evidence demonstrating how individual in-work progression into more sustainable and higher paid careers can be best supported.

This document outlines our business case including our rationale, the strategic fit with the ambitions of the West of England, our proposed innovation, and our value for money and deliverability considerations.

## Rationale

### Pilot Target Group

This pilot is targeted at residents of the West of England Devolved Area who are in employment, claiming in-work benefits and are social housing tenants. Whilst there are currently 25,000 benefitting families in receipt of WTC across our locality, the key focus is on residents living in social housing (60,000 households) who have become entrenched in low-income insecure employment and who are most at risk of homelessness.

Our target group includes social housing tenants on low incomes often struggling to meet their rent payments, and also those tenants who are eligible for social housing who are in temporary accommodation. Our target group also includes many single parents with young children. It also includes individuals at risk of unemployment through health conditions, including mental health issues. For these individuals, better paid employment is often the only and best way that they can make their lives more resilient.

Our pilot intervention will utilise fresh and personable approaches, working through and alongside trusted intermediaries such as housing associations and housing teams who know their clients well and are in the best position to motivate and support voluntary engagement to improve their skills and career prospects.

We will undertake an action-research approach, finding out and recording perspectives from all key stakeholders – in particular – those experiencing ‘in-work poverty’; local employers; partner agencies such as housing services, learning and advice providers. We will combine highly personalised approaches, including both ‘light touch’ and more intensive and focused support to help alleviate specific barriers to in-work progression.

## **Market failure**

In relation to our proposal, the market failure is where people have become entrenched on low income and insecure employment, and government funded interventions have not currently helped them to move on from these circumstances.

For our target group this entrenchment (in general) arises from:

- A lack of self-belief and/or motivation to take action and invest in skills development which would increase their employability and which could then lead to higher earnings;
- The higher incidence of barriers which occur in low income families and neighbourhoods which can diminish employability and incur additional costs for government, such as: lack of adequate housing supply; health inequalities, including higher levels of long term illness and disability; lower educational attainment and qualifications, including lower levels of literacy, numeracy and IT skills;
- Imperfect information about and access to a range of services, entitlements, and support which they could receive or purchase which will help them to move out of low income insecure employment;
- Employer practices and behaviour which do not sufficiently encourage staff training and development and/or where individuals are in employment which is less likely to benefit from progression support, such as zero hours contracts, temporary contracts, and self-employment.

There is a constant flow of households into and out of poverty and a wide range of circumstances will determine the ability of a household to sustain their move out of poverty. The pilot will be testing whether by minimising the impact of the above failures the flows out of poverty can be increased, claims of WTC have decreased and that individuals can sustain this progression.

The changing nature of the UK labour market has led to increased insecure employment and self-employment. The pilot will be addressing the problems when individuals are, or feel, trapped in this part of the labour market. The nature of employer demand will also be addressed through interventions to encourage HR practices which can: increase security of employment and working hours; encourage staff progression; more flexible working for parents and those with caring responsibilities.

## **Impact**

The overall aim of the pilot for individuals who receive the service is to increase household income through additional hours and/or a higher paid job either with the existing employer or by moving jobs.

The aim in working with employers is to increase the supply of jobs in our area which have support for progression (advice, mentoring, training, etc.) and which have flexible working practices for those that need it.

Consequently, the anticipated impacts (recognising that not all can be measured) are:

- 3,000 people will engage in the process and approximately 1200 individuals (40%) will achieve a sustained reduction in their benefit claims for WTC, Universal Credit, Housing Benefit and Child Tax Credits;
- Reduced likelihood of a return to unemployment;
- Lower demand for services as a result of reduced levels of poverty and increased wellbeing – for example through reduced take up of advice, debt, housing support and health-related services;
- A possible reduction in financial debt and rent arrears by participants.

### **Generating robust evidence on ‘what works’**

Our learning aims for the project are:

1. Which services are needed and which are the most effective in engaging and supporting targeted individuals to progress – including the best mix of digital and face-to-face support?
2. How is the motivation and ambition to progress in employment best promoted and encouraged?
3. What are the characteristics of those who progress and those who do not?
4. Which services and communication channels best provide employers with an increased understanding of the benefits of employee progression and retention?
5. What mechanisms work best when co-ordinating and/or integrating different support services provided by the public sector and community partners?

Robust evidence will be generated by testing different activities within the target cohort, such as: different locations and length of advice sessions; a range of personalised (through face-to-face, e-mail, and telephone) and online advice contacts; effectiveness of different organisations to provide advice; whether the use of client responsive budgets makes a difference to their personal circumstances.

Evidence on what works with employers will be generated by testing findings from previous pilots (e.g. DWP, In-work progression: supporting information for Work Coaches (IWP0044) that worked with employers to improve progression. Ultimately, in supporting priority individuals ‘bottom up’ to benefit from progression opportunities in our locality, this could involve: testing different ways of communicating with employers of different sizes, across all local sectors; testing the benefits of our targeted approach when working with employers across different sectors; trialling links and activities with recruitment and temporary worker agencies.

Our pilot is based on integrating support which already exists and improving access to this support for the target group. We will trial new systems and test different mechanisms for how relevant public agencies and community partners align funding and services. We

also aim to demonstrate that by aligning and focusing existing support services we can achieve increased outcomes for this group within the same envelope of funding.

In developing this business case, we are aware that Peterborough and Cambridgeshire Combined Authority are proposing a related innovation pilot which focuses on in-work progression through a specific sector focus. We are committed to working together with this and other relevant successful pilots to obtain additional evidence, including: a comparison of our pilot models (i.e. engaging target individuals vs engaging a key sector), collaborative product development – including evaluation methodologies – and sharing of good practice.

## **Evaluation**

The evaluation will be designed to deliver robust evidence on the quantifiable impacts and the effectiveness of the services which are thought to have a causal link with the impacts on this particular target group.

For targeted individuals our intention is to identify a control group where individuals can be matched with those in the intervention group. However, a full 'randomised controlled trial' (RCT) may not be possible nor desirable. Given the complexities of an impact evaluation for an in-work population we intend to initially commission a feasibility study to determine the most effective methodology. This will be done in sufficient time to build evaluation into programme design and commission external evaluators for the beginning of the pilot.

The key issues to be resolved are:

1. the ability to manage any random allocation given the target group;
2. the method by which interventions can be isolated from other activities and wider economic and societal influences;
3. the availability of HMRC data on WTC and CTC and DWP data for those on UC;
4. the possible long-term maturity of effects of interventions eg. the gains of additional training is recognised of having an increasing impact over time; the stimulus to move to a higher paid job may only be realised in the medium to long-term.

Particularly the latter may mean that a full RCT would not identify the true extent of impact unless conducted over a timescale considerably longer than the pilot. However, we intend the evaluation to have a methodology which gives a thorough understanding of the intervention group. Pending the feasibility study, our current approach is to carry out in-depth focus groups with beneficiaries during project set up and then to conduct detailed questionnaires of participants at commencement, mid-point, exit and post-exit (number of months to be determined).

We anticipate that all evaluation costs, even where falling outside the financial year 2019/20, will be contained within this spending review period as part of a project set up procurement process.

From our initial focus groups and all project questionnaires we will want to understand:

1. The extent to which individual attitudes and behaviour has changed;
2. Whether there has been a change in project participant circumstances and whether they ascribe change to the pilot's activities;
3. Their views on the services delivered and how they were delivered.

There are similar methodological issues in identifying and isolating impact on employers. There are unlikely to be a critical mass of employees with one employer where increased productivity could be identified, and productivity gains through human capital interventions can take time to be realised. However, the evaluation will be geared to exploring what works best with employers in terms of modifying their employment practices through a detailed understanding of their experience and views of the interventions.

We will commission an evaluation which will assist and inform us at every stage: pilot design; implementation and delivery; 'what works' guides; and a final impact assessment with a CBA.

## **Strategic Fit**

### **Local Area Ambition for Sustainable Growth**

Our innovation pilot is designed to have a positive impact on the West of England labour market by supporting and accelerating the development of employee skills and enabling employers to develop more effective recruitment practices to benefit from diverse talent and increased productivity.

Combined Authority Leaders regard this pilot as one of the first major 'People' strands of activity to drive forward inclusive growth and prosperity. Government support will give us a welcome opportunity to inform and develop our West of England employment and skills integrated model and strategy, including important gaps such as in-work progression for future service transformation and development.

### **Local Labour Market**

The Resolution Foundation local area profile for the West of England (December 2016) presents a picture of 'high employment, sluggish jobs growth'. This increases the urgency for establishing and embedding successful routes to progression, since those in uncertain or low wage work are less likely to be able to access jobs outside the region.

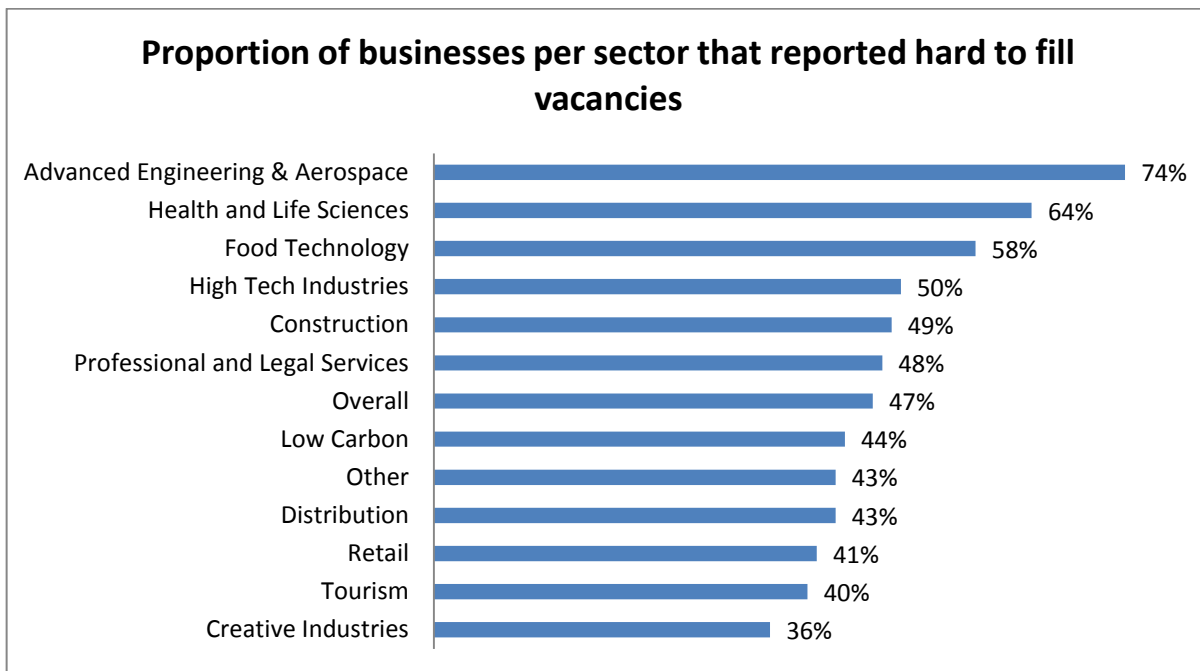
In devising this innovation pilot, the West of England Combined Authority intends to test ways to support economic growth through improved progression and targeted recruitment, focusing on The West of England LEP key sectors with the highest levels of projected jobs growth by 2022:



	2015	2022	Jobs Growth	% Change
<b>Health &amp; Social Care</b>	79,735	88,175	8,440	10.6%
<b>Professional &amp; Legal Services</b>	62,461	68,424	5,963	9.5%
<b>Visitor Economy</b>	55,982	59,768	3,786	6.8%
<b>Retail</b>	83,325	87,036	3,711	4.5%
<b>Construction Sector</b>	22,802	25,642	2,840	12.5%
<b>Food Tech</b>	61,847	64,493	2,646	4.3%
<b>Distribution</b>	9,476	10,938	1,462	15.4%
<b>Creative &amp; Digital Sector</b>	17,008	18,104	1,096	6.4%
<b>High Tech</b>	18,752	19,554	802	4.3%
<b>Low Carbon</b>	6,116	6,612	496	8.1%
<b>Advanced Engineering</b>	29,688	29,773	85	0.3%

Source: EMSI Analyst

According to the latest LEP Employer Survey (January 2017), 47% of employers who responded reported on going difficulties with recruiting skilled staff into hard to fill vacancies.



Source: West of England Employer Skills Survey 2016

In the same survey, 64% of employers identified 'low number of applicants with the required skills' as the main reason for their hard to fill vacancies. 24% identified the low number of applicants with the required attitude, motivation or personality for their particular vacancies.

## Existing Service Integration and Provision

Evidence from studies working with individuals to enable a return to work highlights that there is little awareness of what support is available. The Timewise Foundation report *Jobs Not Careers* finds that, amongst the individuals that they evaluated, there was no awareness of the National Careers Service.

Furthermore, criteria determining eligibility for financial support for training is confusing and potentially represents a barrier. Equally, individuals may require further support before accessing loan based finance such as budgeting. The West of England Devolution Deal provides us with an opportunity to influence Advanced Learner Loans which we can test and develop through this pilot.

In the West of England there are positive examples of joint working on the delivery of different funded services through a wide network of employment and skills providers. However, whilst there is a strong track record of collaborative working and successful programme management, this does not extend across all related service areas, and has to date excluded 'in-work' progression activities.

In relation to our proposed in-work progression pilot, whilst there are currently no similar targeted programmes in place, there are some services that can be built on, aligned and 'add value', including:

- i) **HYPE West (Cabinet Office)** is an award winning youth employment programme managed by local authorities and the DWP that has combined engagement, job coaching and in work support. As a result of the success of this project, 600 unemployed young people were engaged, of which 384 (64%) obtained sustainable employment. Some elements of the HYPE model can be built on and extended through this pilot, particularly employer engagement, in work support and use of personalised budgets to overcome individual barriers to work progression. HYPE has built a legacy network of local providers who share a culture of collaboration which is evident in their continued joint working on existing into-work programmes in the area.
- ii) **Tenant Support and Homeless Prevention Services** are provided through a number of registered social landlords, in partnership with the DWP and local authorities – including engagement, IAG, pre-employment support, training, work placements and apprenticeships. Existing data sharing arrangements have been achieved, making joint working for this project deliverable.

Bristol City Council is one of 28 **DCLG Homelessness Prevention 'Trailblazer'** areas aimed at preventing people from becoming homeless. The Bristol 'trailblazer' programme will focus on households most at risk of homelessness if their private rented sector tenancy comes to an end. An example of how we will align this programme is by working closely with the intervention team so that eligible tenants can access personalised in-work progression support. Housing link workers will be in a good position to engage with tenants and carry out proactive referrals, but will not have the resources or expertise to provide employment progression support.

- iii) **Targeted Adult Education and Apprenticeship Provision** (SFA) is currently planned and delivered through a local partnership across FE colleges, local authorities, independent training providers and DWP. Bristol City Council has been successfully piloting the customised 'A Roof over My Head' short course with tenants who are at risk of homelessness which can be linked in and adapted through this pilot. In the second year of delivery, we can consider options for improving in-work progression outcomes through our AEB commissioning framework and outcome agreement.
- iv) **ERDF West of England Business Support Services** is a new intervention that includes business support workshops and 1-1 sessions and centralised intensive support to achieve high growth. Currently early in the commissioning process, project contacts have offered support for integrating high performance work practices into the programme.
- v) **Skills West: Connecting for Success** (ESF/SFA) is a new intervention designed to increase the responsiveness of the skills and training system in the West of England to meet the needs of local employers. The provision is currently at planning stage and includes a number of related elements. An example of how we will align this programme is by linking into the 3200 opportunities for individuals. Skills West will create the opportunities but not broker them. We can therefore make links to our cohort directly and through the legacy register of employers willing to offer on-going opportunities.
- vi) **West of England Enhanced CEIAG service** (ESF/SFA) is a new contract that includes an offer of face to face, in depth advice and guidance to 630 employed residents, including progression.

### **DWP Evidence Strategy**

The DWP have provided strategic evidence to ensure that our innovation pilot has maximum impact on local labour market and employment priorities:

### **Contribution to Jobcentre Plus Future Priorities**

Jobcentre Plus (Avon, Severn and Thames District) has been actively involved in the development of this business case and are keen to support this initiative going forwards. This pilot potentially serves JCP in a number of ways, it will:

- provide valuable insight into what works in engaging in-work benefit customers and supporting them to progress within the local labour market;
- 'warm-up' potential Universal Credit customers to the conversation about in-work progression, in preparation for their eventual migration;
- provide for customers, whose earnings progress beyond the upper threshold, an exit route from benefit.

By focussing on Tax Credit customers as the primary target group and using social housing providers as the main reference source, the pilot places minimal demand on JCP resource and avoids contamination of DWP trials. There will be opportunity for suitable JCP customers to participate in the pilot (those that naturally migrate to UC during the period of trial, for example) and we will work collaboratively to optimise those opportunities within the wider JCP provision offer.

In terms of employer engagement, JCP will again derive benefit from the insight provided into what works in engaging and influencing local employers to adopt and embrace flexible working practices that accommodate a progressive workforce. The pilot is fully in harmony with the DWP and Universal Credit aims of making work pay through the ABC - "A job; A Better job, A Career".

JCP at a local level will look to collaborate with the pilot to co-ordinate employer engagement activity to optimise resource and minimise duplicate contacts to employers.

### **Labour Market issues and opportunities**

- A significant number of major projects are likely to impact on the local labour market, providing a range of new job opportunities by 2022, including: Hinkley Point; Bristol Arena site; Rail electrification; Redevelopment projects (Bath Riverside and new hotel developments; significant housing developments at the Keynsham Urban Extension, Mulberry Park and Enfield sites; Dolphin Square; Somerdale - (former Cadbury factory, Keynsham); airport developments; Oldbury Power Station; Cribbs Causeway expansion.
- In addition to the projected jobs growth, it is anticipated that there will be continued jobs vacancies through normal job 'churn', particularly in retail, low carbon, visitor economy, logistics, construction and health care sectors.
- In supporting targeted in-work progression, the project will need to take account of the local sectors, occupations and vacancies that are appropriate for the target group and where there are progression opportunities.

### **Universal Credit (UC)**

The local DWP strategic management team have highlighted the positive opportunities presented by this project to help prepare for the full service roll out of Universal Credit by March 2018 and beyond. In the West of England we have the advantage of UC full service in Bath and North East Somerset (B&NES) since May 2016, including collaborative working with all social landlords.

The DWP now have a live service in Bristol and South Gloucestershire, and are planning for implementation for UC full roll out through a local stakeholder analysis and communications plan.

As the gateway to all other benefits closes, it is anticipated that caseloads will build up as all existing DWP customers are migrated to UC until 2021. This means that the DWP will have contact with a much larger number of customers, either to encourage them to get

back into the labour market or to increase their earnings. Through our in-work progression pilot, we will be able to identify and work with WTC/HB claimants in preparation for this transition.

The DWP is currently running an In Work Progression Randomised Control Trial across the Jobcentre Plus network which involves four job centres in the West of England. Interim results will be available in early 2017 to inform our final pilot design to ensure our activities are aligned and results optimised. Local DWP Managers are confident that our innovation pilot can add value to this control trial, in particular by finding new ways of engaging and igniting aspiration amongst priority customers so that they can become independent of government work related benefits.

## **Innovation**

### **In-Work Progression Model - Outline**

Based on our project rationale and proposed impacts (see section 1), our innovation proposal includes core elements to achieve a supported customer journey to successful in-work progression (for a more detailed logic chain please see Appendix 1.)

#### **Step 1: Engagement and Referral**

We are aiming to engage 3000 beneficiaries who are in receipt of WTC and in low paid and insecure employment by working with and through trusted housing intermediaries with their established close contacts and positive working relationships with tenants. Housing associations, registered social landlords, local authority housing and housing benefits teams are already working closely with our target group to ensure that their accommodation is made more secure. We will support this objective by providing more specialist employment advice and hands on support for in-work progression. Beneficiaries will be selected to participate in the project on a 'first come first served' basis – this will enable us to manage demand and also ensure that we do not skew evaluation results through the introduction of different recruitment filters.

This will be achieved by creating and funding a team of 'Navigators' who will be matrix managed across partnership agencies. This will involve the employment of new staff and investment in current staff through secondments and extended contracts so that existing staff can be focus on new clients and carry out different activities. Navigators will draw on their existing knowledge and trusting working relationships with tenants, as well as carrying out new outreach and marketing activities to generate interest in and referrals to our progression support service. As part of our initial project set up, we will hold tenant events where we carry out focus group and "vox pops" interviews to ensure the project co-design is built 'bottom up' to ensure maximum engagement and success, and to provide robust baseline evidence in building our programme evaluation and evidence from the start.

*This step provides innovation through the focus on and co-design with social housing tenants and joint working with social housing and homeless prevention providers.*

## **Step 2: Diagnostic Assessment and Action Planning**

All engaged tenants will undergo a diagnostic assessment of their in-work progression situation – including their assets, barriers, commitment to progression, and development opportunities. This process will build an in-depth baseline picture of project beneficiaries providing rich evidence for the project evaluation and future service design. Through our diagnostic assessments, we will better understand how an interactive web based portal could intelligently assess and direct similar groups of individuals to relevant packages of support as part of a more cost effective system in the future. Depending on the circumstances and support requirements of each engaged tenant, Navigators will be able to action immediate support or to refer individuals for more intensive and specialist assistance from our network of providers. All beneficiaries will have a personal action plan which will be reviewed on a regular basis and used to inform our project evaluation.

*This step provides innovation through the use of digital assessments and the testing of different assessment methodologies, including nationally recognised and robust evidence tools (such as Outcome Stars; Warwick-Edinburgh Mental Well-Being Scale; WellWorth etc).*

## **Step 3: Supporting Personalised Solutions**

A range of personalised support can be actioned immediately through our team of Navigators, for example, this may involve preparing a CV or job application, scanning for job vacancies, supporting individuals to investigate progression opportunities with their current employer or new employers, supporting research into formal training opportunities or helping individuals work through strategies to overcome more practical barriers to in-work progression e.g. travel and childcare. Our pilot will build on previous in-work progression support programmes so that participant information and support materials are made available, through face-to-face sessions and also through self-help web based employee toolkits. Where individuals require more complex assistance, the Navigator can procure support through a specialist commissioned provider, where more intensive, targeted and specialised approaches are required. A customer responsive budget will be held by Navigators to cover progression related costs, for example, this will be used to cover the cost of items that will support in-work progression, for example: DBS check; course fees or materials; interview clothes; specialist career coaching; counselling sessions etc.

*This step provides innovation through the testing of what support works best – through better integration or through the development of new provision.*

## **Step 4: Progression Support and Tracking**

Whether providing direct support and/or procuring more specialist intervention, Navigators maintain close and regular contact with their housing tenant beneficiaries for a minimum of 13 weeks. This is to ensure that there is a consistent level of support for progression in-

work to ensure that commitments and identified actions are followed through and momentum is sustained. This follow up support will also enable the project team to collect vital evaluation data. Due to capacity constraints, it is anticipated that the maximum period of support will be 26 weeks – after which time project beneficiaries will have been supported to draw on support from a range of independent sources, e.g. in the workplace, through their trade union, through tenant support, through peer support.

In addition to these core project elements, our innovation project team will be developing and implementing a number of other critical progression support tools and activities, e.g.: organising peer support sessions; enabling employer/individual networking through jobs fairs and events; influencing existing skills and IAG provision; clarifying career pathways in locally important key sectors; implementing evidence from previous studies on sector interventions into packages for business growth.

*This step provides innovation through testing the most effective methods to secure progression 'retention' and to track intervention outcomes.*

## **Employer Engagement**

Previous pilots on in-work progression have generally focused on employer-led sector based activity which informed our approach of a person-led pilot. We recognise, however that employer engagement will be necessary to support the individuals with whom we work into appropriate opportunities, whether they be with their current employer or through moving employer.

Looking at previous sector-specific work, particularly the UKCES Futures Programme and the work they did with hospitality and retail we know that:

- Engaging with employers through face-to-face contact, intermediaries and workshops are most effective
- Messages tailored to be relevant to the employer and their needs work best
- Employers are interested in soft skills as well as technical qualifications
- The opportunity to make the tools and toolkits developed during the programme accessible to other employers in sector is worth testing
- Developing and testing software in the timeframe of the pilot is unlikely to be feasible.

Based on this knowledge, our pilot will:

Work with the existing employer support and engagement programmes to embed key messages which align to the aims of our pilot in the work being delivered. This will principally entail the production of information and materials on High Performance Work Practices which we will roll out in advance of the interventions for individuals. The information produced will highlight the business benefits of High Performance Workplace Practices and draw on case studies which demonstrate return on investment in their sector.

Guidance will include a 'how to' toolkit for businesses and the advisors / engagement officers working on the identified programmes. We hope to access toolkits developed

through previous pilots such as the UKCES Futures project. Examples of behaviours to be promoted will include developing flexible job roles particularly at progression levels, staff development and training to enable wider job roles, developing performance management processes to support staff and recognize good work.

We will use employer support and engagement programmes to gather feedback from businesses which will support the identification of employers who promote 'good' jobs and on the tools we intend to provide prior to our work with individuals.

Closer to the pilot start date we will then begin to publicise the activity with employers so they are aware of the pilot and what it seeks to achieve, plus the benefits the work will offer to the West of England economy. We will also ensure that this project and the employer 'offer' forms part of an integrated package of support with seamless alignment with other core services, for example through JCP.

### **The value of recruitment**

For employers who gain suitable new recruits for their job roles, we are keen to recognise the commercial value of this service. A recruitment advertisement in a local paper can cost around £1000; an employee found via a recruitment agent costs around 15% of the salary.

We don't expect all of the individuals that we work with to change jobs in order to progress but some of them will. We are currently exploring the use of an existing digital solution which is up and running but new to the marketplace and unproven.

When we identified these activities we looked at the existing evidence and how we could apply it to the resources we will have available in the area. We also considered roll out and sustainability. We will build this activity into the impact evaluation looking at the effectiveness of the tools, the effectiveness of different types of activities and the sustainability of these solutions. By working across sectors we can identify commonalities and also where sector specific information is required.

### **What is new?**

Our proposed model will provide government with exciting innovations through our unique approach to improving in-work progression. This will in turn provide new evidence to inform future policy development and investments to bring about future cost efficiencies and positive impacts for the economy, businesses, families and individuals. A review of existing evidence shows that the majority of in-work progression pilots, with the exception of the DWP's own pilot, have focused on sectoral interventions such as the UKCES Futures Programme.

Our model will respond to calls at the House Of Commons Work & Pensions Committee report on In-Work Progression in Universal Credit (2015-16), including proposals that different approaches to personalised support are evaluated and that structural barriers are addressed. The project will also evaluate the effectiveness of some of the proposals submitted to the DWP in 2013 under the 'Extending labour market interventions to in-work claimants' call for ideas. New evidence will include



- The targeting of progression support on tenants in low paid, insecure and low skilled employment – an opportunity for all partners to get to know more about the ‘working poor’ who are increasingly at risk of homelessness due to welfare reform and the increased emphasis through the UC regime on taking and evidencing proactive steps towards financial independence. As part of our project we want to engage both tenants and employers in an area wide discussion about the future of work and the issues and possible solutions for them and the West of England – we will record their views through film and digital media to share with other key stakeholders at a local, regional and national level;
- Developing and trialling ambitious new approaches to encourage career progression through more responsive IAG and skills development opportunities, including direct outreach with people who are juggling busy and sometimes stressed working lives, trialling the use of ‘contact moments’ people have with housing providers and housing benefit providers to promote opportunities to retrain and to progress. Through this pilot we are aiming to trial a range of motivational engagement strategies – through using trusted intermediaries and through directly recruited and trained navigators targeting specific WTC geographic ‘hot spots’.
- Providing personalised and specialist support to address the unique barriers to progression that are experienced by individuals – for example: low literacy, numeracy and language skills; childcare; travel; workplace support; attitudinal barriers, including perceived and actual experiences of prejudice and discrimination in the workplace based on postcode or protected characteristics; improving confidence and work place competencies; provision of careers guidance; skills development etc.
- Engaging employers differently – aligning resources with local employer engagement agencies, employer representative bodies (e.g. Business West) and Trade Unions; linking up with innovative place-based leadership business engagement (e.g. Bristol Learning City Partnership WORKS), adopting new approaches to sectoral business engagement; working across diverse sectors, including micro and SME employers – supporting individuals to progress across organisations as well as with their existing employer.
- Testing a more integrated and comprehensive approach in the West of England – working across lead employment and skills strategic leaders, commissioners and providers, and also working across funding silos to establish a more sustainable integrated model of working in the future. Using this pilot to better align mainstream skills and IAG resources in order to test how best to increase the positive outcomes for this target group – this will include better development, signposting and take up of more flexible and accessible online advice and training.

## **Scalability**

With government support, the West of England Combined Authority will develop and test a strong in-work progression model and framework that can be scaled up and replicated in other similar localities.

The West of England area includes diverse localities within our wider sub-regional footprint, incorporating a large and small city and towns, urban, rural and coastal areas. This enables us to ‘test out’ different approaches and to gather, collate and report evidence of what works, and what doesn’t, to inform other places.

To help achieve future scalability and potential roll-out, we will:

- Evaluate outcomes across the complete West of England area which includes urban, rural and coastal communities;
- Include consideration of sectors in the evaluation looking for a relationship between existing and progression job types;
- Review relevant evidence at programme design phase and implement relevant findings (such as improving service integration to ensure individuals are aware of the available support);
- Implement evidence on working with sectors to test application within our geography;
- Produce accessible best practice ‘what works’ guides as part of the evaluation;
- Undertake to share findings through learning forums.

### Target cohorts

For our two year pilot we intend to target 3000 adults aged 19+ who are in work and who are in receipt of WTC or UC, and who are also social housing tenants.

Based on the latest available UA level data, we have identified that the total numbers benefitting families in the West of England who were in work and receipt of WTC as of August 2014 is approximately:

	<b>In-work families</b>		
	<b>All families</b>		
	WTC and CTC	WTC only	<b>Total in-work</b>
<b>Bath and North East Somerset UA</b>	3,400	900	4,300
<b>Bristol, City of UA</b>	10,900	3,200	14,100
<b>South Gloucestershire UA</b>	5,500	1,100	6,600
	19,800	5,200	25,000

Local DWP colleagues have agreed to carry out further work with us to establish the cohort on UC and on WTC currently. Even if we are unable to include Universal Credit customers in this pilot, we are not dependent on this cohort for this innovation pilot to

proceed. We have sufficient numbers of potential beneficiaries across our wider cohort – i.e. people in work on low pay who live in social housing and are at risk of homelessness.

Within this broad cohort, we will be aiming to identify and work with individuals within our target cohort who also have the following characteristics:

- People who are currently presenting high level risk factors in relation to their housing situation – for example, those eligible for social housing living in temporary accommodation; social housing tenants in rent arrears who are being contacted through rent management teams;
- People with low motivation to increase their earnings as a result of entrenched cultural expectations, e.g. those who have obtained paid work for 16 hours and have satisfied the current DWP benefits regime, 'happy' to stay in this position, continuing to receive work related benefit;
- People with family commitments who feel there are insurmountable barriers to retraining and gaining higher qualifications e.g. perceptions of affordability and attitudinal factors (such as a lack of confidence) are key inhibitors;
- People with protected characteristics in relation to equalities legislation: women, BME people (including refugees with legal status to remain), Disabled people, LGBT people and older people;
- People living in geographic areas that face specific challenges in relation to employment progression e.g. rural isolation; areas of multiple deprivation etc.;
- Single parents/carers and others with caring responsibilities;
- People with few or no formal qualifications, including people with low levels of literacy, numeracy and English language skills;
- People with low level digital skills who are unable to adapt to the accelerating pace of technological change in the workplace;
- People with insecure employment contracts, including zero hours contracts;
- People living with a range of health conditions, including mental health, which is impacting on their in-work progression;
- People who work for small employers who are not planning to expand;
- People whose jobs are at risk due to restructuring, downsizing, merger or closure.

Across all these priority groups, we will utilise in-depth knowledge of housing officers and link workers to identify and support these individuals to get involved in the project, including through a range of engagement and motivational activities. Navigators will use their in-depth diagnostic assessment tools to obtain baseline information which will enable us to understand the distance travelled as a result of the project interventions and the particular support packages that work, and those that are less successful.

# Value for money considerations

## Affordability

We are asking for £3,951,371 DWP over the two years of the pilot. A provisional budget is included in Appendix 2.

It is planned to give a service to 3,000 people giving a gross unit cost of £1,317 per participant. This includes the higher costs that are associated with an innovative pilot, such as the full evaluation costs.

The anticipated split over the financial years is planned to be:

2017/18 = £529,993

2018/19 = £2,330,096

2019/20= £1,091,283

We will commence delivery of services nine months after the award decision is notified to us. On the current timetable we anticipate this will be January 2018.

Therefore a maximum of three months' worth of delivery costs have been included in 2017/18 and in addition we have included approximately £32,750 of start-up costs, giving the total of £529,993 for this financial year. This remains dependant on a cautious profile of referrals and starters, and it may be possible to increase this with a timely Award decision by DWP. See Appendix 2 for a provisional profile.

We propose that DWP agrees with the Combined Authority to pay a proportion as a 'service fee' and the remainder against agreed indicators. However, given this is an innovative pilot then there will necessarily be a higher risk for funders and providers. Consequently, we propose that 30% of the grant be paid as a 'service fee' and 70% against achievement of an agreed profile of starters with a personal action plan and evidence of received in-work progression services over a minimum of 13 weeks.

When we externally commission provision the majority of payments will be on a PBR basis. The contracted out elements will be put out to competitive tender and the majority of payments to the successful contractors will be by 'payments by results' or milestones for the evaluation. We expect PBR indicators to reflect those agreed between the Combined Authority and DWP for the payment of the grant.

Our model is testing how beneficiaries can access other local services and support. We have estimated the value of this 'aligned funding', which is defined as the likely value of existing local services and projects which participants may access as part of their action plans. This is estimated to be in the region of £1,214,000.

Examples of the sorts of projects and services to be 'aligned' are included in Appendix 3.

## Cost Benefit Analysis

Initially, our aim is for **the pilot to be fiscally neutral**. In other words, we will generate savings in benefit expenditure which are at least equal to the cost of the pilot. This will give an overall fiscal benefit-cost ratio (in the NE CBA model) of 1, with the payback period over four years.

For the operation and delivery of the pilot we believe we need to keep the aims and indicators as simple as possible. Our intention is therefore to use an 'improved household income' indicator of £3,951,371 for Navigators and external providers. This target will generate the required benefit savings because of the reduced claim resulting from the higher income. The average reduced claim for the whole programme will be £3,293, equal to the unit cost multiplied by the projected number of those beneficiaries who report a reduction in their In Work benefit claims. See 'Performance' below for further discussion on this indicator.

However, we recognise that only covering the actual cost of the pilot is a relatively crude indicator, and there are a number of issues which must also be taken into account when doing a full CBA as part of the evaluation:

1. The indicator does not take into account **deadweight**, where people would have increased their income without the support of the pilot
2. Advice from Navigators may lead some people to **increase their benefit claim** if they were not previously receiving their full entitlements
3. It does not capture the wider **social benefits** such as improved well-being, and reduced poverty-related problems
4. The potential impact, or **displacement**, on other low-paid workers should be taken into account
5. It does not capture the specific costs and benefits of the pilot's work with **employers**.

Most of these issues are untested within the context of in-work progression. We think that with a step-by-step approach we can build a strong methodology to give robust results.

First, we intend to use the New Economy CBA model throughout the pilot. However, the model is not wholly designed for in-work projects, as such a slightly different approach will be needed. An early task of the external evaluators will be to ensure that the New Economy model is fit for purpose and that the pilot will be able to quantify the inputs required. This step will be an important element of the evaluation feasibility study (see 'Evaluation' section).

Second, we will produce a benchmark CBA model which will require the development and agreement of various assumptions about the profile of starters and performance. These assumptions will then inform the performance indicators we use for our referral agencies, in-house staff, and external providers.

The benchmark CBA can only be done by modelling different types of households claiming WTC/CTC or UC and the impact of changes to their income. We will use DWP recommended benefit calculators to estimate change in income and the reduction in benefit spending.

Third, we are committed to identifying the full range of outcomes (as identified in the NE CBA tool) and quantify the potential savings by the full range of our partners. This will be a key requirement of our external evaluators, recognising that we may need new ways to monitor and measure savings in other services.

## **Performance**

Our aim is for the cost of the pilot to be covered by the savings generated by reduced claims for WTC/CTC or UC, and related savings. Therefore our main indicator will be the estimated cumulative benefit savings as a result of beneficiaries increasing their earnings.

Unlike conventional unemployment programmes that are funded on a defined outcome, this pilot is designed to meet, understand and test out interventions for in-work progression. This approach involves some risks as there is little hard evidence on which to base any target on the numbers of beneficiaries that will increase their earnings. This approach also means that support is likely to be more personalised as Navigators and providers will be focused on achieving earnings gains, no matter how small.

Our emphasis is therefore on achieving the cumulative benefit savings rather than numerical targets for the number of people that progress. As part of our risk mitigation, we are assuming that some people will significantly reduce their benefit claim, some will reduce their benefit claim marginally, and some may make no progress or take a long time to progress. Our starting assumption is that around 40% of beneficiaries will increase their income to one extent or another. We will put in place indicators and metrics that can monitor the numbers of people progressing and the amounts. These metrics will enable us to monitor on a regular basis the progress towards the cumulative indicator.

We want to ensure gains in income are sustained and not the result of extra hours in a limited timeframe. We intend to measure the gain in income over a period of 12 months after a person has ceased receiving support. This will mean that the evaluation will continue after the pilot has ceased, however evaluators will be asked to report regularly on performance and what is working and what improvements are needed.

We will need early discussions with government on how we accurately measure the benefit savings for the cumulative indicator. However, our assumption is that we will need to use self-declared increases in earnings by beneficiaries and input the changes into one of DWP's recognised benefit calculators to derive the reduced value of benefits. For non-UC claimants all benefit savings, including Housing Benefit and Council Tax Support, will contribute to the cumulative indicator.

Beneath the cumulative indicator we will agree more detailed performance indicators with the Department. For example, the ERA evaluation found that support increased the likelihood of working full-time, so we will be closely monitoring the numbers of people that

make the transition from part-time to full-time. Overall we will be driven by the need to ensure the pilot is fiscally neutral and at best delivers cashable savings to national and local budgets. We think our cumulative indicator, backed up by more detailed indicators and metrics, will provide a strong performance framework for the pilot as a whole and for all staff and providers.

## **Deliverability**

### **Capacity and capability**

In the West of England Combined Authority there is a strong vision and ambition in relation to transforming employment and skills across the 16-19 and the 19+ landscape. To drive this forward through our system leadership and integrated working, we are confident that the current Employment and Skills Leadership Team has proven capacity and capability to plan, develop and execute high quality employment support interventions that are delivered to the highest quality, on time, within budget.

A recent example of this approach was our recent management of the highly successful and the award winning HYPE West programme. This 18 month £1.4 million Cabinet Office funded programme was delivered through a multiagency partnership across the West of England including four local authorities, the DWP and a range of business engagement and employment support providers. Project management, commissioning, monitoring and evaluation systems were efficiently designed and operated across a complex geo-political landscape. As a direct result of our successful project outcomes, including widespread sharing of best practice, elements of the HYPE West model have now been mainstreamed through on-going funding, including through public health. Evidenced practice has also been used to inform our integrated employment and skills model, including this new innovation pilot.

In addition to our existing internal capacity and capability, the Combined Authority is also in a strong position to draw on external expertise and resources to support our project development and delivery. As an initial step, to help us develop this business case, we have engaged an expert consultant through the Learning and Work Institute. In developing our evaluation strategy, we will also be keen to draw on both national and local expertise through specialist agencies and local HE partners.

### **Commissioning**

Across the new Combined Authority we are establishing a responsive procurement system that will enable us to resource flexible and agile solutions to meet our unique employment and skills challenges.

One of the advantages of place-based working is our ability to implement flexible support funding and dynamic purchasing, and building on our strong network of innovative, creative and niche local suppliers to address very local customer needs.

As we plan and refine our Innovation Pilot, we will be able to build on the HYPE West commissioning system, and also draw on legal input and feedback in the development of the new Work Zone 'spot purchasing' umbrella agreement system in Bristol. This will enable us to draw upon a broad provider base and to have a team of independent Navigators spot purchase the best solution to meet individual needs, through expanding our established framework of specialist provision.

### **Jobcentre Plus Engagement and Integration**

DWP Jobcentre Plus is a lead partner in the development and delivery of our in-work innovation pilot. At this initial planning stage, DWP/Jobcentre Plus senior and operational managers in the West of England have identified a number of aspirations and expectations in relation to their involvement and contribution to the project:

- One of the main Jobcentre Plus (JCP) Departmental priorities at this time is the transition to UC full service. UC is underpinned by employment progression. Whereas new claimants or those under-going benefits change will migrate to UC, those who form part of the 'old' case load will not migrate in the first instance and will take some time before they do. The West of England In-Work Progression Innovation Pilot is being co- designed to provide invaluable additional support in identifying and engaging with WTC claimants, in preparation for UC full service by 2021. Whilst this critical preparatory work is being undertaken through a collaborative partnership, with close input and steer from the local JCP Team, our involvement of housing delivery and other local specialist advice and support partners is intended to avoid placing negative capacity pressures on day-to-day JCP operations in the field.
- UC is intended to make the local labour market more dynamic. People on WTC may not feel great motivation to increase their earnings and expand their hours – by improving this motivation and providing support the innovation pilot could remove 'log jams' in the labour market and allow flow for new entrants.
- DWP UC conditionality regime – HYPE West worked best when project staff worked face-to-face with JCP job coaches and advisers. This enabled JCP staff to keep up to speed with community based services and project staff to understand the place of individuals in relation to the DWP benefits regime. In relation to the In-Work Progression Pilot it will be essential that individuals receive single messages and joined up advice, particularly in relation to updated conditionality where individuals will start to experience more pressure to increase their financial status and reduce their dependency on state benefits.
- Across our combined authority partnership, this pilot will also enable us to build a more coherent overall package of employment support through improved joined up working and service integration. Our project steering group will provide a senior manager forum to ensure that related interventions are aligned to help inform our co-design of an effective local delivery model e.g. DCLG preventing homelessness advice model; DWP In-Work Progression Trial.



- Culturally, DWP Jobcentre Plus are committed to moving away from numerical targets for people to get into work and to introduce a greater focus on quality customer service – this will take some time and will form part of the UC full service implementation. The Combined Authority can support the DWP with this transformation process as we work towards a more integrated model and service offer.

## **Governance**

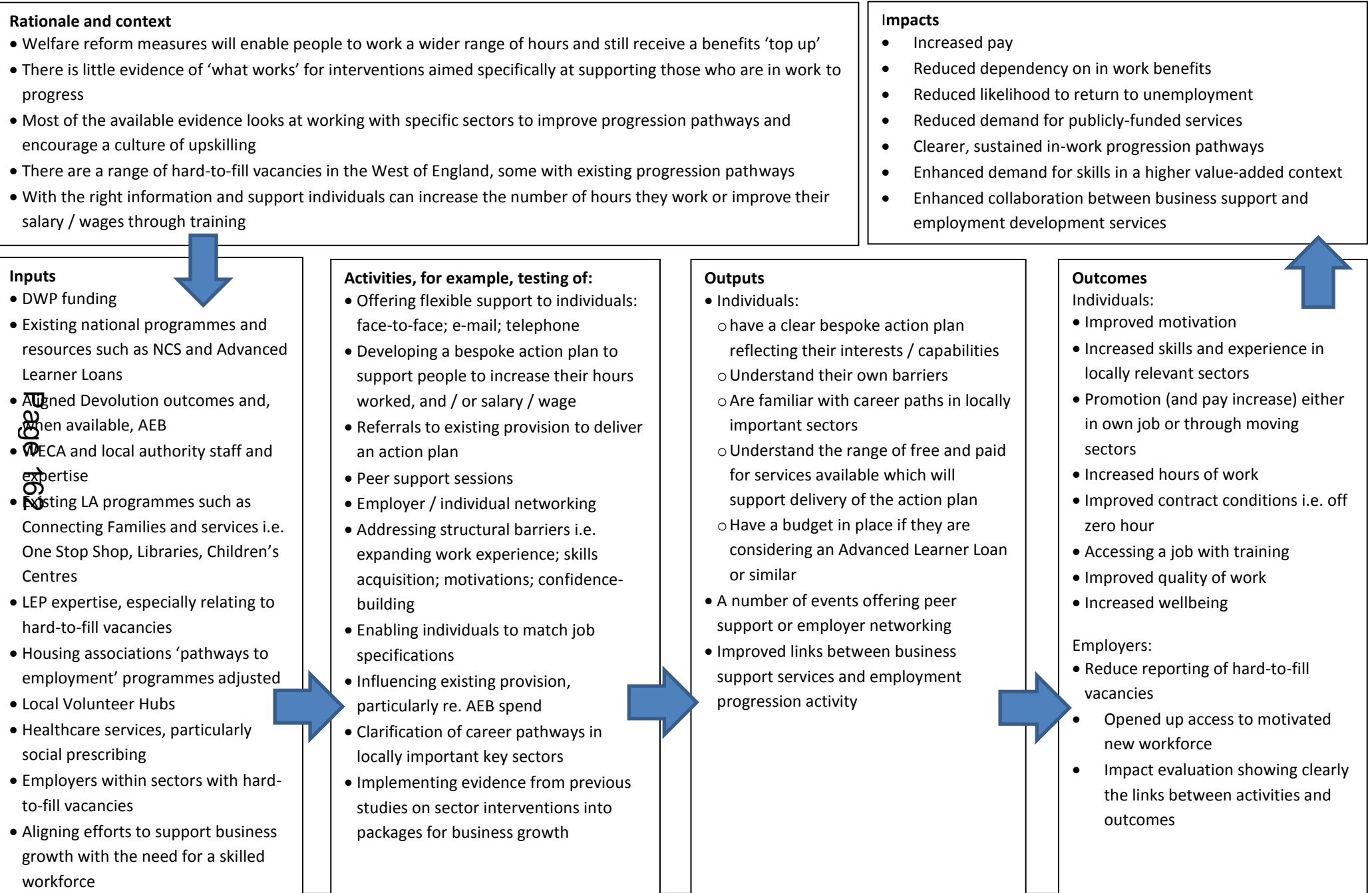
The West of England Combined Authority will be the lead accountable body for our Innovation Fund pilot, made up of the new elected mayor and CEO/mayor representatives of our constituent local authorities.

A high level project steering group will be formed to oversee and manage the project on a day-to-day basis, serviced and supported by the project manager and project support worker. This steering group will be made up of all lead partner organisations across the local authorities and the DWP, with co-opted representatives from partner organisations e.g. registered social landlords, TU organisations; employers/employer engagement bodies.

A separate provider network will be formed to support effective sharing of good practice.

A detailed project governance diagram is included in Appendix 4.

## Appendix 1: Logic Chain



## Appendix 2: Financial and Beneficiary Profile

Innovation Programme Budget	17-18			18-19					19-20				Grand Total
	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Total	
<b>Staffing fixed costs</b>													
Project manager	£12,500	£12,500	£25,000	£12,500	£12,500	£12,500	£12,500	£50,000	£12,500	£12,500	£12,500	£37,500	£112,500
Support officer	£8,750	£8,750	£17,500	£8,750	£8,750	£8,750	£8,750	£35,000	£8,750	£8,750	£8,750	£26,250	£78,750
Senior Management Time	£0	£0	£0	£0	£1,000	£0	£0	£1,000	£0	£1,000	£0	£1,000	£2,000
<b>Total Staffing</b>	<b>£21,250</b>	<b>£21,250</b>	<b>£42,500</b>	<b>£21,250</b>	<b>£22,250</b>	<b>£21,250</b>	<b>£21,250</b>	<b>£86,000</b>	<b>£21,250</b>	<b>£22,250</b>	<b>£21,250</b>	<b>£64,750</b>	<b>£193,250</b>
<b>Infrastructure Set Up</b>													
Office Equipment	£1,500	£1,500	£3,000	£1,500	£1,500	£1,500	£1,500	£6,000	£1,500	£1,500	£0	£3,000	£12,000
Self Help Portal and Toolkit Development	£0	£20,000	£20,000	£0	£0	£0	£0	£0	£0	£0	£0	£0	£20,000
Legal, Financial and Procurement Costs	£0	£25,000	£25,000	£0	£0	£0	£0	£0	£0	£0	£0	£0	£25,000
CRM System	£0	£10,000	£10,000	£0	£0	£0	£10,000	£10,000	£0	£0	£0	£0	£20,000
Marketing & Focus Groups	£10,000	£13,000	£23,000	£0	£3,000	£0	£4,000	£7,000	£0	£0	£0	£0	£30,000
<b>Total Infrastructure</b>	<b>£11,500</b>	<b>£69,500</b>	<b>£81,000</b>	<b>£1,500</b>	<b>£4,500</b>	<b>£1,500</b>	<b>£15,500</b>	<b>£23,000</b>	<b>£1,500</b>	<b>£1,500</b>	<b>£0</b>	<b>£3,000</b>	<b>£107,000</b>
<b>Programme Costs</b>													
Navigators, (Outreach, Engagement Diagnostic and Light Touch)	£0	£160,000	£160,000	£160,000	£160,000	£160,000	£160,000	£640,000	£160,000	£160,000	£160,000	£480,000	£1,280,000
Employer Engagement	£0	£55,000	£55,000	£75,000	£55,000	£65,000	£75,000	£270,000	£75,000	£0	£0	£75,000	£400,000
Referral Costs to referring agencies	£0	£10,500	£10,500	£16,200	£12,600	£16,500	£18,000	£63,300	£14,100	£2,100	£0	£16,200	£90,000
Intervention Start- 0-8 hours contact time	£0	£49,000	£49,000	£75,600	£58,800	£77,000	£84,000	£295,400	£65,800	£9,800	£0	£75,600	£420,000
<b>Total</b>	<b>£0</b>	<b>£274,500</b>	<b>£274,500</b>	<b>£326,800</b>	<b>£286,400</b>	<b>£318,500</b>	<b>£337,000</b>	<b>£1,268,700</b>	<b>£314,900</b>	<b>£171,900</b>	<b>£160,000</b>	<b>£646,800</b>	<b>£2,190,000</b>
<b>Upfront Payments</b>													
8 - 16 hours contact	£0	£1,330	£1,330	£3,710	£2,730	£4,200	£3,850	£14,490	£3,990	£1,190	£0	£5,180	£21,000
16-24 hours contact time	£0	£1,960	£1,960	£12,600	£13,720	£14,000	£15,400	£55,720	£16,800	£9,520	£0	£26,320	£84,000
24 hours contact time	£0	£0	£0	£12,250	£18,900	£14,700	£19,250	£65,100	£21,000	£16,450	£2,450	£39,900	£105,000
<b>Total Upfront Payments</b>	<b>£0</b>	<b>£3,290</b>	<b>£3,290</b>	<b>£28,560</b>	<b>£35,350</b>	<b>£32,900</b>	<b>£38,500</b>	<b>£135,310</b>	<b>£41,790</b>	<b>£27,160</b>	<b>£2,450</b>	<b>£71,400</b>	<b>£210,000</b>
<b>13 Week KPI Sustainment Payments</b>													
0-8 Hours contact time													
8 - 16 hours contact	£0	£0	£0	£998	£2,783	£2,048	£3,150	£8,978	£2,888	£2,993	£893	£6,773	£15,750
16-24 hours contact time	£0	£0	£0	£1,470	£9,450	£10,290	£10,500	£31,710	£11,550	£12,600	£7,140	£31,290	£63,000
24 hours contact time	£0	£0	£0	£0	£9,188	£14,175	£11,025	£34,388	£14,438	£15,750	£14,175	£44,363	£78,750
<b>Total Outcome based 13 week KPI sustainment payments</b>	<b>£0</b>	<b>£0</b>	<b>£0</b>	<b>£2,468</b>	<b>£21,420</b>	<b>£26,513</b>	<b>£24,675</b>	<b>£75,075</b>	<b>£28,875</b>	<b>£31,343</b>	<b>£22,208</b>	<b>£82,425</b>	<b>£157,500</b>
Client Responsive Budget	£0	£112,000	£112,000	£172,800	£134,400	£176,000	£192,000	£675,200	£150,400	£22,400	£0	£172,800	£960,000
Evaluation	£0	£16,703	£16,703	£16,703	£16,703	£16,703	£16,703	£66,811	£16,703	£16,703	£16,703	£50,108	£133,621
<b>Total Programme Costs</b>	<b>£32,750</b>	<b>£497,243</b>	<b>£529,993</b>	<b>£570,080</b>	<b>£521,023</b>	<b>£593,365</b>	<b>£645,628</b>	<b>£2,330,096</b>	<b>£575,418</b>	<b>£293,255</b>	<b>£222,610</b>	<b>£1,091,283</b>	<b>£3,951,371</b>

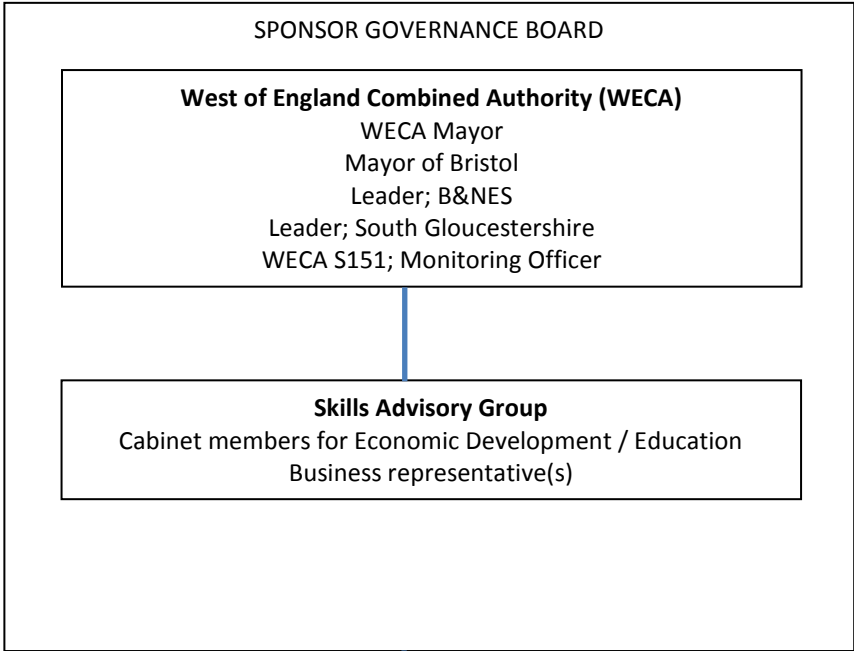
Innovation Programme Profile	17-18			18-19					19-20				Grand Total
	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Total	
<b>Programme Element</b>													
Engagement	0	350	350	540	420	550	600	2110	470	70	0	540	3,000
<b>Light Touch Service</b>													
Intervention Start and production of action plan	0	105	105	162	126	165	180	633	141	21	0	162	900
Achievement	0	0	0	11	68	74	75	227	83	90	51	224	450
<b>Full Service Upfront</b>													
Intervention Start and production of action plan	0	245	245	378	294	385	420	1477	329	49	0	378	2,100
Achievement	0	0	0	16	143	177	165	501	193	209	148	550	1,050
Employer Engagement	0	110	110	150	110	130	150	540	150	0	0	150	800
Numbers Accessing Client Responsive Budget	0	280	280	432	336	440	480	1688	376	56	0	432	2,400

### Appendix 3: Aligned Funding Elements

Element	Total	Estimated volume	Estimated Unit Cost
Tenant Support and Homeless Prevention Services	£52,500	70	£750
Targeted Adult Education and Apprenticeship Provision / SFA Funded Provision	£270,000	180	£1,500
ERDF West of England Business Support Services	£50,000		
West of England Enhanced CEIAG service	£32,000	80	£400
Bristol City Council Work Zone Programme and Ways 2 Work Network	£88,000	80	£1,100
Bristol Learning City WORKS programme – including web portal and toolkits for employers and individuals	£4,000	20	£200
Bristol and South Glos Community Learning Budget	£32,000	80	£400
B&NES Your Care, Your Way linked employment portal, (currently under development).	£45,000	60	£750
Local Section 106 Development Obligations.	£42,000	60	£700
Employment and Skills Obligations through social value clauses in Council procurement activities.	£49,000	70	£700
Housing associations 'pathways to employment' programmes X4	£140,000	100	£1,400
Existing Social Prescribing Contracts	£15,000	25	£600
Big Lottery / ESF and other major VCS national and local programmes e.g. Hire Me My Way which is setting up in the West of England area	£168,000	140	£1,200
Work experience opportunities bespoke to individual needs through partner employers.	£50,000	100	£500
Skills West Connecting for Success	£50,000		
HYPE West - Further System / Process Development and alignment with Innovation Project	£40,000		
WECA and local authority staff and expertise	£50,000		
LEP expertise, especially relating to hard-to-fill vacancies and business engagement	£36,500		
<b>Total</b>	<b>£1,214,000</b>		

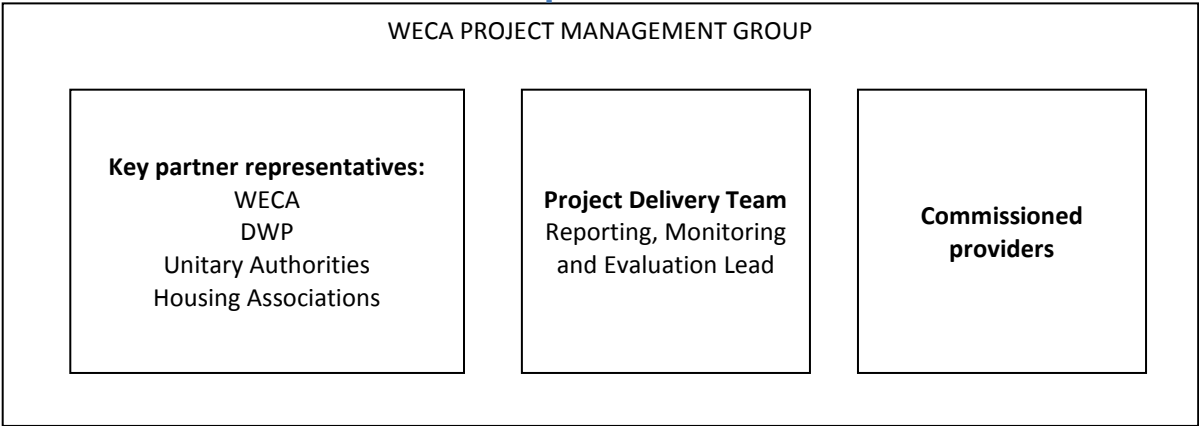
Note: Estimated values and volumes are based on predicted demand from beneficiaries requiring 'light touch' support over the two years of the pilot and are based on the current known/budgeted position. They do not reflect any potential changes in budgets/grants/programmes during the life of the project as these are currently unknown. Exact values for each individual will be identified through project monitoring. Additional and greater aligned resources will be captured through monitoring the activities undertaken by each individual engaged and supported.

**Appendix 4: Project Governance Diagram**



- Resolution of key issues*
- Decision taking beyond delegated powers*
- Reviewing project performance*
- Ensuring effective delivery*
- Challenge and support for the project team*
- Option to bring in specialist advisors*

- Project Advisors
- Tenant Reps
- Trade Unions
- Business West
- Key Sector Reps
- Advice Services
- Training Providers



- Day-to-day project management*
- Reporting against plan to SGB*
- Identifying matters requiring reference to the SGB*
- Coordinate the functional outputs of the project*
- Establish communications and information flows*



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29 January 2018

Dear Tim Richens

### Employment Support Innovation Pilot

I am pleased to inform you that your application for grant funding for the design, implementation and delivery of the Employment Support Innovation Pilot has been accepted.

This Grant Offer is made, through section 31 of the Local Government Act 2003, by Alok Sharma MP, Minister of State for Employment. In this instance, I will sign this agreement with the West of England Combined Authority (the Combined Authority) on behalf of the Minister.

The grant is to support you in developing and delivering the pilot, as set out in your business case of 24 February 2017, to test interventions that address the issues of individuals who are entrenched in low income, insecure employment and are at risk of becoming homeless. The aim of the pilot is to test a key worker model that supports in work progression through tailored interventions such as training, support to move into other jobs, diagnostic assessments, action planning and supporting personalised solutions.

Designing a robust evaluation of the pilot is a core objective and you are expected to commit to this objective.

This letter confirms that a grant will be awarded to the total value of £4m inclusive of any non-recoverable VAT and broken down as follows:

- 2017/18 Financial Year: £1.4m
- 2018/19 Financial Year: £1.522m
- 2019/20 Financial Year: £1.078m

DWP will review the grants based on the Memorandum of Understanding agreed between them and West of England Combined Authority, including the expected outcomes of the pilot outlined in Annex B.

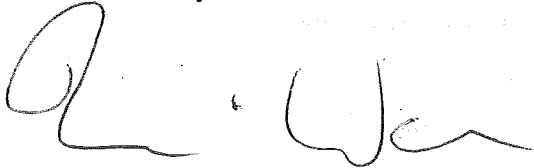
This grant will be paid in advance in three financial years, 2017/18, 2018/19 and

2019/20. To enable DWP to make the grant award they will need:

- a signed copy of the Acceptance of Grant Offer and Effective Date template (Annex A);
- a signed copy of the Memorandum of Understanding (Annex B); and
- the Combined Authorities bank account details (Annex C).

Please return the signed copies of the Acceptance of Grant Offer and Effective Date template (Annex A), the Memorandum of Understanding (Annex B) and the Bank Account Details template (Annex C) to Richard Joshua at the Department for Work and Pensions (DWP), 1<sup>st</sup> Floor, Caxton House, Tothill Street, London, SW1H 9NA along with an electronic version to our Finance Business Partner, Paul Banks at [paul.banks@dwp.gsi.gov.uk](mailto:paul.banks@dwp.gsi.gov.uk).

Yours sincerely

A handwritten signature in black ink, appearing to read 'Iain Walsh', written in a cursive style.

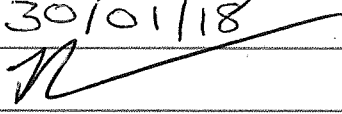
Iain Walsh

Director of Labour Market Strategy and International Affairs

### Acceptance of Grant Offer and Effective Date

This grant funding agreement is effective from the date this annex is signed.

As the authorised representative of West of England Combined Authority, I have read the Grant Offer Letter dated 26 January 2018 and the Memorandum of Understanding, attached as Annex B to that letter, and agree to comply with the notified conditions of the grant on which the offer is made.

<b>Signed by a person authorised to sign on behalf of West of England Combined Authority</b>	
Date	30/01/18
Signature	
Name (please print)	Tim Richens
Position in organisation	Director of Investment & Corporate Services

<b>Principal contact for West of England Combined Authority</b>		
Contact name/Postal address	Sue Dobson 3 Rivergate Temple Quay Bristol BS1 6ER	Adam Powell 3 Rivergate Temple Quay Bristol BS1 6ER
Position	Project Manager	Director of Skills
Telephone no.	01174 286212	07814 521804
Email address	Sue.Dobson@WestOfEngland-CA.gov.uk	Adam.Powell@WestOfEngland-CA.gov.uk



**Memorandum of Understanding between the Department for Work and Pension (DWP) (Labour Market Strategy and International Affairs Directorate) and West of England Combined Authority for the Employment Support Innovation Pilot**

**SIGNATORY ORGANISATIONS**

1. The parties to this Memorandum of Understanding ("MoU") are:
  - DWP (The Labour Market Strategy and International Affairs (LMSIA) Directorate); and
  - West of England Combined Authority (the Combined Authority).

**PURPOSE**

2. This MoU, which is not legally binding, sets out how DWP and the Combined Authority will work together to design and deliver an employment pilot based on the business case the Combined Authority submitted to DWP on 24 February 2017. This MoU covers the design, implementation and delivery of the pilot.
3. The MoU sets out:
  - I. The roles and responsibilities of the parties;
  - II. The anticipated funding of the pilot;
  - III. The Performance Monitoring and Reporting arrangements;
  - IV. The principles of collaborative working;
  - V. Provisions for management and governance of the pilot; and
  - VI. Confidentiality, Freedom of Information; Intellectual Property Rights, and Termination Clauses.

**PERIOD OF OPERATION**

4. This MoU between DWP and the West of England Combined Authority will be in place for three financial years from 2017/18 to 2019/20. There may however be elements of the pilot that will run beyond the 2019/20 financial year.

**BACKGROUND**

5. As part of the devolution deal West of England Combined Authority signed with Government they were given the opportunity to develop, for DWP Ministerial approval, a business case building on the learning from the HYPE programme, for an innovative pilot to support those who are hardest to help and furthest from the labour market. Following further detailed discussions it was accepted that West of England Combined Authority, due to their relatively buoyant Labour Market, would develop their business case along the lines of supporting their residents already in work to progress.

6. This pilot will involve a robust evaluation to test the individual and collective impact of new interventions, including the impact on employment outcomes and spend within the local area. The pilot will be initiated in January 2018 and run for 2 years 6 months.
7. Through this pilot DWP and the Combined Authority want to test a set of interventions identified as having the potential to deliver improved employment outcomes. The Combined Authority will contract with an external organisation for a full evaluation of the pilot to be carried out, as detailed in their evaluation plan.

### **Roles and Responsibilities**

8. DWP's roles and responsibilities will be to provide ongoing support to the Combined Authority in a timely manner which will include:
  - I. Appointment of an account manager who will be the primary point of contact for the duration of the pilot and will provide personalised advice and day to day support, access to expertise and monitor progress on behalf of DWP;
  - II. Appointment of a programme manager who will have oversight of the pilot;
  - III. Provide a national support package which will include advice and expertise on areas such as information governance, service design and evaluation;
  - IV. Access to and advice from, other Government Departments, as well as DWP's Senior Responsible Owner (SRO) (it will be the account manager's role to oversee this access and act as conduit between both parties);
  - V. Contributing to the development of a service map setting out how service users will be identified, enter and flow through the pilot;
  - VI. Help identify key stakeholders ;
  - VII. Agreeing a joint implementation and delivery plan, setting out roles and responsibilities, a timetable for mobilisation and live-running and a plan for risk management; and
  - VIII. Feedback on the cost benefit model the Combined Authority will use to baseline the expected impact of the pilot.
9. The Combined Authority's roles and responsibilities will be to:
  - I. Design a deliverable pilot that meets the employment outcomes detailed in the business case and as set out in the Performance Monitoring and Reporting section of this MoU;
  - II. Work across organisational boundaries engaging with a broad range of local stakeholders, recognising the potential of the programme to impact on a wider audience;
  - III. Ensure that appropriate resources are in place to meet these outcomes;
  - IV. Ensure effective leadership and governance to promote swift decision-making;

- V. Work collaboratively with the account manager, reporting progress, escalating any concerns, develop solutions to share problems and share learning throughout the pilot; and
  - VI. Deploy the funding provided by DWP in a way that supports delivery of the objectives of the pilot.
10. Designing a robust evaluation of the pilot is, for DWP, a key element of the pilot, the Combined Authority committed to this in the business case they previously submitted. In relation to evaluation the Combined Authority should develop proposals on:
- I. The objectives of the pilot and the outcomes to be measured;
  - II. The methods used to evaluate the pilot (including impact, process and economic evaluation); and
  - III. Develop a plan for baseline data collection (i.e. employment and other characteristics of pilot participants, as well as intervention and 'business as usual' costs).

### Grant Awards

11. An initial grant award of £1.4m inclusive of non-recoverable VAT will be paid to the Combined Authority in 2017/18 financial year following submission of their project plan, resource plan and expected performance levels, for years 1, 2 and 3 of the pilot.
12. For the following financial years the payments are forecast as follows:
- £1.522m in 2018/19
  - £1.078m in 2019/20.
13. This investment is for the sole purpose of delivering the pilot. Anticipated outcomes are listed in the Performance Monitoring and Reporting section below. DWP acknowledge that a percentage of the grant award will be used to pay for overheads such as management and administration of the pilot.
14. It will be the Combined Authority's responsibility to provide assurance to their account manager that funding is accounted for and is only applied to pilot based activity.

### Performance Monitoring and Reporting

Performance Indicators	Year 1 2017-18	Year 2 2018-19	Year 3 2019-20	TOTAL
Number of participants starts with an action plan	40	2153	807	<b>3,000</b>
Number of participants with increased skills through completion of further learning/training	0	817	1183	<b>2,000</b>

Number of participants who achieve a sustained increase in their wages as a result of activity on the programme (measured project entry to exit and 6 month follow up).	0	487	713	1,200
Number of employers engaged through the programme and who have registered (informally or formally) support for the local programme for their employees.	25	300	75	400

15. A governance group has been established to monitor the progress of the pilot. Terms of Reference for the group have been agreed between DWP and the Combined Authority. It is anticipated that the group will meet and review MI on a quarterly basis and review the use of the grant funding and the release of future grants.
16. The amount of grant funding for 2018/19 and any subsequent years will be determined in accordance with the principles set out below [paras 17 to 22]. DWP will take the final decision on the release of future grant payments and will give the combined authority reasons for its decision.
17. For any identified underspend related to 2017/18, the Combined Authority will carry-forward this amount in their balance sheet to the subsequent financial year. This carry-forward will then be aggregated to the in-year grant allocation for 2018/19 and used to manage the contractual expenditure for that year. The opportunity to carry-forward aggregated underspends will continue from financial year to financial year subject to discussions between DWP and the Combined Authority.
18. DWP reserves the right to adjust future grant profiles or request its repayment by the Combined Authority if it deems this aggregated carry-forward amount to be significant in relation to foreseeable future liabilities arising. Adjustments to future grant agreements will be by exception and only considered at a point where performance achievement is considerably under profile.
19. The Combined Authority shall also provide performance and expenditure forecasts going forward for the duration of the pilot to inform future grant allocation planning. These forecasts are to be updated and provided by the Combined Authority at the end of each Financial Year.
20. DWP grants made in respect of the pilot during 2019/20 financial year will be subject to robust performance forecasts for the remainder of the pilot and ongoing performance achievements.
21. The final annual reconciliation process shall also include a complete reconciliation for the entire period of the grant, with supporting management information. The Combined Authority should, at that stage indicate if there are any aggregate underspends against the total grant allocations, which must be returned to DWP.

22. The Combined Authority should include contract break clauses (where contracting out services) or appropriate clauses in contracts when recruiting additional personnel to allow for the potential of the pilot terminating ahead of the end date.

## **THE PRINCIPLES OF COLLABORATIVE WORKING**

23. DWP and the Combined Authority have a shared commitment to:
- I. Work collaboratively in the spirit of partnership – working jointly and openly to ensure successful outcomes;
  - II. Be open - communicate openly about major concerns, issues or opportunities relating to the pilot;
  - III. Jointly solve problems – work together to solve problems and unblock barriers on common issues;
  - IV. Work at pace – recognise the time-critical nature of the pilot and work to deliver in the expected timeframe;
  - V. Deploy appropriate resources – ensure sufficient and appropriately qualified resources are available and authorised to fulfil the responsibilities set out in this MoU;
  - VI. Adhere to statutory requirements and best practice – comply with applicable laws and standards including EU procurement rules, competition law, data protection and freedom of information legislation; and
  - VII. Spread learning – enable lessons on how to design a successful pilot and best practice identified through the pilot to be shared with other areas.

## **MANAGEMENT & GOVERNANCE**

24. The Accountable Manager acting on behalf of the Combined Authority will be accountable for the delivery of the outcomes of the pilot and for the appropriate use of the initial and any subsequent grants.
25. DWP and the Combined Authority commit to put in place strong governance and decision-making capability to enable problems to be escalated and solved quickly. If necessary, problems should be escalated to the Programme Manager and the Innovation Pilot SRO.

## **DISPUTE RESOLUTION**

26. Concerns raised within/by the Combined Authority should be escalated to DWP through the following routes:  
**Account Manager** – Boyd Wood  
**Programme Manager** – Stephen Harry  
**Senior Responsible Officer** – Iain Walsh
27. Concerns raised within DWP will be escalated to the Combined Authority through the following routes:  
**Programme Manager** – Adam Powell  
**Senior Responsible Officer** – Chris Jennings  
**Accountable Officer** – Tim Richens

## **CONFIDENTIAL INFORMATION**

28. Except to the extent set out in this clause or where disclosure is expressly permitted elsewhere in this MoU, each party (DWP and the Combined Authority) shall:

- Treat the other parties' Confidential Information<sup>1</sup> (as defined below) as confidential and safeguard it accordingly and as directed by the other party;
- Not disclose the other parties' confidential information to any other person without the owner's prior written consent;
- The Combined Authority may only disclose DWP's Confidential Information, to West of England Combined Authority employees and partners who are directly involved in the provision of the pilot and who need to know the information, and shall ensure that such employees are aware of and shall comply with relevant obligations in relation to confidentiality and the requirements of the Data Protection Act 1998; and
- DWP may only disclose the Combined Authority's Confidential Information, to West of England Combined Authority employees and partners who are directly involved in the provision of the pilot and who need to know the information, and shall ensure that such employees are aware of and shall comply with relevant obligations in relation to confidentiality and the requirements of the Data Protection Act 1998.

29. All parties shall use all reasonable endeavours to ensure that any government department, contracting authority, employee, third party or sub-contractor to whom the other parties' Confidential Information is disclosed pursuant to this MoU, is made aware of the obligations of confidentiality that such each party owes to the other.

30. The parties warrant that they shall comply with their obligations under the Data Protection Act 1998, Directive 95/46/EC of the European Parliament and any legislation and/or regulations implementing them, amending or replacing them or made in pursuance of them and any associated legislation that arises in connection with the MoU.

## **FREEDOM OF INFORMATION AND INFORMATION LAW**

31. The parties acknowledge that they are respectively subject to the requirements of the Freedom of Information Act 2000 (FOIA) and shall assist and cooperate with each other to enable both organisations to comply with their information disclosure obligations.

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<sup>1</sup> "Confidential information" means all confidential or proprietary information relating to a party or its business, operations or functions that is indirectly or directly disclosed or made available and shall include internal correspondence between the two organisations, unpublished research reports, of either organisation in relation to this programme, Ministerial correspondence and internal advice. This list is not exhaustive.

32. Both parties acknowledge that they will, in the normal course of events, advise and consult the other party when they receive a request under the FOIA in connection with the pilot in the Combined Authority.

33. The parties acknowledge they are required to answer subject access requests (SAR's) made under the Data protection Act 1998 and undertake to answer such requests in accordance with their obligations under the Act and their respective procedures.

#### **PUBLICITY**

34. The parties shall consult with each other before deciding whether to give any publicity to the matters covered by this MoU.

#### **INTELLECTUAL PROPERTY RIGHTS (IPR)**

35. The parties may use each other's and Departmental logos for the purposes of delivering and promoting the services specified in the MoU provided such use is in line with the owner's guidelines.

36. Any other use of the logo or other intellectual property rights will require express permission in writing from the owner.

37. The parties will have joint IPR ownership around the outputs and products of the pilot. There will be no additional charge or restriction on DWP employing these outputs and products on other programmes of work across government or the public sector.

#### **TERMINATION**

38. This MoU may only be terminated before the expiration set out in paragraph 4 by the written agreement of either party, or the failure to comply with the conditions within the MoU.

#### **DECLARATION**

Signed for and on behalf of DWP:

Name: ..... *IAN WALSH*

Position: ..... *Director of Labour Market Strategy and International Affairs*

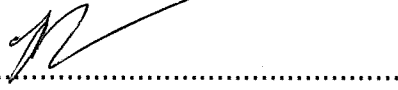
Signature: ..... *[Handwritten Signature]*

Date: ..... *29/1/2018*

Signed for and on behalf of West of England Combined Authority:

Name: T. Richens

Position: S151 Officer

Signature: 

Date: 30/01/18



**Bank account details**

Information required by the Department to make payment of grant for the activities stated in the offer letter.

**Contact details for West of England Combined Authority to whom payment should be sent**

Organisation name: West of England Combined Authority

Address: 3 Rivergate, Temple Quay, Bristol

Post Code: BS1 6ER

Telephone no: 01173 701958

Remittance

E-mail address: wecafinance@westofengland-ca.gov.uk

**Bank account details**

Account name: West of England Combined Authority

Bank address: City of Bath (A) Branch, 24-25 Stall Street, Bath BA1 1QF

Account no: 33460760

Sort code: 56-00-34

Bank name: Natwest

## **GRANT OFFER LETTER FOR THE WEST OF ENGLAND EMPLOYMENT SUPPORT INNOVATION PILOT PROGRAMME.**

**THIS GRANT OFFER LETTER** is dated 8 February 2018

### **PARTIES:**

- (1) **WEST OF ENGLAND COMBINED AUTHORITY (Accountable Body)**
- (2) **BRISTOL CITY COUNCIL (Grant Recipient – ‘You’)**

### **LEGAL BASIS FOR OFFER.**

This grant is made under the West of England Combined Authority's General Power of Competence as given by Part 8 of the West of England Combined Authority Order (Statutory Instrument no. 126/2017) and following Decision References WECA301017 13 and 14 of the West of England Combined Authority.

### **Definitions**

**Accountable Officer** means your S151 officer the post of Service Director, Finance, currently held by Denise Murray. WECA's Accountable Officer is our Director of Investment and Corporate Services, the post currently held by Tim Richens.

**WECA** means the West of England Combined Authority.

All other terms are defined within the text.

### **1. The Programme**

- 1.1 Grant is made available to you under section 8 of the West of England Combined Authority Order (SI 176/2017) and following the decision of the West of England Combined Authority on 30 October 2017.
- 1.2 Grant is to support delivery of the Future Bright Programme (previously known as the Employment Support Innovation Pilot) as detailed in the business case submitted to the Department for Work and Pensions (DWP) on behalf of WECA on 24 February 2017.
- 1.3 The Programme is described as:

“The West of England has low levels of unemployment, but there are significant numbers of families in or awaiting social housing (housed in Local Authority provided temporary accommodation) who have become entrenched in low-income, insecure employment and are at risk of becoming homeless. The Programme will operate as a key-worker model to support in work progression for these families through tailored interventions such as but not limited to training, support to move into other jobs, diagnostic assessments and action planning and supporting personalised solutions. The Programme will utilise the knowledge of local housing associations and social landlords to identify residents who would benefit most from support.”
- 1.4 The Programme Start Date is the date of this letter.
- 1.5 No performance indicators can be counted prior to the Programme Start Date.

## **2. Performance Indicators**

2.1 Each Local Authority participating in delivery of the Programme has been assigned a proportion of the Programme level performance indicators as agreed with the Department for Work and Pensions. Your proportion of these performance indicators are detailed in the table at Appendix C.

## **3. Governance**

3.1 The West of England Combined Authority has delegated responsibility for making appropriate arrangements for grant funding the constituent councils for the delivery of this Programme including agreeing the profile and amounts of funding between financial years to the WECA Chief Executive, in consultation with the WECA Mayor and the council's Accountable Officers.

3.2 The West of England Skills Advisory Board will receive quarterly performance and budget reports and they will advise WECA in management of the Programme.

3.3 the West of England Combined Authority Scrutiny Committee will also have oversight of the Programme.

3.4 DWP will take the final decision on the release of future funding for the Programme to WECA.

3.5 The impact of any decision by DWP to withhold funding to WECA will be determined using the governance described above.

## **4. Allocation of grant and eligible costs**

4.1 Your total allocation of grant under this Programme is projected to be £1,823,000 (one million eight hundred and twenty-three thousand pounds) over the financial years 2017/18 – 2019/20.

4.2 WECA is not able to guarantee payment to you of your full projection of grant and it is subject to on-going performance review at a Programme level.

4.3 To allow for potential early termination of the Programme, WECA recommends that you do not enter contracts or make commitments that do not include break clauses allowing them to be exited should funding for the Programme cease early.

4.4 All funding granted to you or claimed by you in relation to the delivery of the Programme must be applied to one of the following eligible cost types:

- Direct staff costs, including overheads.
- Costs of external contractors or other procured goods and services, including costs of externally provided training and education and other relevant and appropriate costs of Participants

4.5 WECA is not obligated to meet any costs incurred against expenditure that does meet these eligibility criteria and reserves the right to claw back or withhold funding from you should any ineligible expenditure be identified.

4.6 No eligible costs can be claimed as incurred prior to 09/10/2017.

## **5. Grant Payments and How to Claim.**

5.1 Grant may only be applied to activities relating to the delivery of the Programme and its outcomes as described in this Grant Offer Letter.

5.2 Grant will be paid quarterly in arrears of incurred eligible expenditure.

5.3 By the 30<sup>th</sup> of April, July, October and January of each financial year of the Programme period you shall submit to WECA a Claim Form and Progress Report substantially in the form of the templates at Appendix A and B. These dates will be known as Claim Dates.

5.3.1 Claim Forms should be submitted electronically to the email address [claims@westofengland-ca.gov.uk](mailto:claims@westofengland-ca.gov.uk). You are not obliged to submit a paper copy provided that the electronic submission has been suitably authorised by your Accountable Officer.

5.4 Claims will only be eligible if they are complete, accompanied by a Progress Report and are submitted by the Claim Dates stipulated in para 5.3.

5.5 The Accountable Body will make best endeavours to pay all eligible claims received within 30 days.

## **6. Annual Audit**

6.1 By 30<sup>th</sup> May of 2018 and each subsequent calendar year in which you claim or receive grant under this Grant Offer Letter you must submit to us an Audit Report prepared by a suitably qualified Auditor who may be an internal auditor.

6.2 The purpose of the Audit Report is to verify that your claims have been accurate and are supported by sufficient and appropriate records of expenditure and that all terms and conditions of this Grant Offer Letter have been met.

6.3 A sample Audit Report is included at Appendix D giving an indication of the level of assurance sought.

## **7. Eligible Participants**

7.1 Any participant supported by the Programme must be:

- Resident in the West of England Combined Authority area as defined by its administrative boundary.
- Aged 19 or over.
- In full-time or part-time paid employment.
- On entry into the Programme, claiming in work benefits other than Universal Credit (i.e. Working Tax Credit, Child Tax Credit, Housing Benefit, Council Tax Rebate)
- A social housing resident or eligible for social housing and currently housed in Local Authority provided temporary accommodation.
- Agrees to complete all stages of monitoring, and understands that their data will be shared for the purposes of providing and evaluating the Programme.

7.2 You must ensure that all participants receiving support meet these eligibility criteria.

7.3 Employers receiving support by the Programme must be:

- Actively employing residents in the West of England Combined Authority area (with their registered office or substantial business unit here).

- Legally given support in-line with all relevant legislation including State Aid.

## **8. Provision of Data**

8.1 WECA will procure a data management information system for use across the Programme.

8.2 You must ensure that the data provided by your Authority through this system is complete, accurate and up-to-date and accords with the information given in your Progress Report.

8.3 If a data management system is not provided then WECA will introduce new arrangements sufficient to capture Programme information suitable to complete performance reports and evaluation.

8.3.1 These new arrangements may include You being responsible for capturing and maintaining all relevant Programme data.

## **9. Media and Publicity**

9.1 The West of England Combined Authority is required to publish on its website details of the schemes funded and to keep information on progress and delivery of those schemes up-to-date. The information provided to the Combined Authority by the Grant Recipient will be used for these purposes.

9.2 Communications, including media relations and marketing of the project, will be managed by WECA.

9.3 The Grant Recipient shall not publish any material referring to the project or the Combined Authority without prior agreement and approval by the Combined Authority. The Grant Recipient shall acknowledge the support of the Combined Authority in any materials that refer to the project and in any written or spoken public presentations about the project. Such acknowledgements (where appropriate or as requested by the Combined Authority) shall include the Combined Authority's name and logo (or any future name or logo adopted by the Combined Authority) using the templates provided by the Combined Authority from time to time.

9.4 In using the Combined Authority's name and logo, the Grant Recipient shall comply with all reasonable branding guidelines issued by the Combined Authority from time to time and available from the Combined Authority communications team.

9.5 The Grant Recipient agrees to participate in and co-operate with promotional activities relating to the project that may be instigated and/or organised by the Combined Authority.

9.6 The Combined Authority may acknowledge the Grant Recipient's involvement in the project as appropriate without prior notice.

9.7 The Grant Recipient shall comply with all reasonable requests from the Combined Authority to facilitate visits, provide reports, statistics, photographs and case studies that will assist the Combined Authority in its promotional activities relating to the project.

## **10. Evaluation**

10.1 WECA will develop an Evaluation Plan that will be shared with partners. This Plan will detail the types of information and records required to be obtained and kept and how the information will be used.

10.2 You are required to comply with all aspects of the Evaluation Plan and you should ensure that sufficient records are kept enabling WECA to complete the evaluation process.

### **11. Participatory budgets.**

You are responsible for ensuring that any element of grant paid to you and used to make payments for retail goods, equipment or other similar expenditure on items resulting in benefit of individual participants, is used reasonably and appropriately. This will include keeping clear records of such expenditure and might include establishing a clear list of ineligible items of expenditure and maximum values of grant paid that can be paid to, or to the benefit of, any single participant.

### **12. Confidential Information and Data**

12.1 Confidential information means all confidential or proprietary information relating to a party or its business, operations or functions that is indirectly or directly disclosed or made available and shall include internal correspondence between WECA and You, unpublished research reports in relation to this Programme, Ministerial correspondence and internal advice. This list is not exhaustive.

12.2 You will need to ensure that you have the necessary arrangements in place in order to share data and any Confidential Information with WECA regarding this Programme, including the provision of data relating to individuals participating in the Programme as required under clause 8.

12.3 Both parties to this agreement continue to be bound by all relevant legislation and good practice with regard to the collection, sharing and storage of data captured and any Confidential Information relevant to this Programme.

### **13. Freedom of Information**

13.1 The parties acknowledge that they are respectively subject to the requirements of the Freedom of Information Act 2000 (FOIA) and shall assist and cooperate with each other to enable both organisations to comply with their information disclosure obligations.

13.2 Both parties acknowledge that they will, in the normal course of events, advise and consult the other party when they receive a request under the FOIA in connection with the pilot in the Combined Authority.

13.3 The parties acknowledge they are required to answer subject access requests (SAR's) made under the Data protection Act 1998 and undertake to answer such requests in accordance with their obligations under the Act and their respective procedures.

### **14. Disputes**

14.1 All matters regarding the management of the Programme and the provision of grant funding to partners will be discussed and agreed at the Steering Group.

14.2 Where matters cannot be resolved by the Steering Group they will be escalated to the Chief Executives of WECA and each participating Local Authority.

### **15. Limitation of Liability**

15.1 The Accountable Body accepts no liability for any consequences, whether direct or indirect, that may come about from the Grant Recipient running the Project, the use of the Grant or from withdrawal of the Grant. You shall indemnify and hold harmless Us and Our employees, agents,

officers or sub-contractors with respect to all claims, demands, actions, costs, expenses, losses, damages and all other liabilities arising from or incurred by reason of Your actions and/or omissions in relation to the Project or the non-fulfilment Your obligations this Grant Offer Letter or Your obligations to third parties.

15.2 The Accountable Body's liability under this Grant Offer Letter is limited to the payment of the Grant.

**16. Assignment.**

The Grant Recipient may not, without the prior written consent of the Accountable Body, assign, transfer, sub-contract, or in any other way make over to any third party the benefit and/or the burden of this Grant Offer Letter or, except as contemplated as part of the Project, transfer or pay to any other person any part of the Grant.

**17. Novation**

With the consent of the Grant Recipient, the Accountable Body may novate its obligations, duties and rights under this Grant Offer Letter to another Local Government Authority or appropriate party.

**18. Waiver**

No failure or delay by either You or Us to exercise any right or remedy under this Grant Offer Letter shall be construed as a waiver of any other right or remedy.

**19. Notices**

All notices and other communications in relation to this Grant Offer Letter shall be in writing and shall be deemed to have been duly given if personally delivered, mailed or emailed to the Grant Recipient's Accountable Officer. If personally delivered all such communications shall be deemed to have been given when received (except that if received on a non-working day or after 5.00 pm on any working day they shall be deemed received on the next working day) and if mailed all such communications shall be deemed to have been given and received on the second working day following such mailing. If emailed communications will be deemed given and received on the date that a read receipt message is received, or the date the message is sent supported by generally accepted records to support the date of sending.

**20. No Partnership or Agency**

This Grant Offer Letter shall not create any partnership or joint venture between the Accountable Body and the Grant Recipient, nor any relationship of principal and agent, nor authorise any party to make or enter into any commitments for or on behalf of the other party.

**21. Contracts (Rights Of Third Parties) Act 1999**

This Grant Offer Letter does not and is not intended to confer any contractual benefit on any person pursuant to the terms of the Contracts (Rights of Third Parties) Act 1999.

**22. Governing Law**

This Grant Offer Letter shall be governed by and construed in accordance with the law of England and the parties irrevocably submit to the exclusive jurisdiction of the English courts.

**23. Acceptance of offer**

23.1 This offer of the Grant is valid until 28/02/2018. To accept the terms and conditions of this Grant Offer Letter the Grant Recipient should sign, date and return the Grant Offer Letter to the Accountable Body at the address below.

F.a.o. Director of Investment and Corporate Services, West of England Combined Authority, 3 Rivergate, Temple Way, Bristol BS1 6ER.

23.2 The Accountable Body can withdraw the offer of the Grant in full with no further obligation to comply with the terms of this Grant Offer Letter if We do not receive this Grant Offer Letter signed and dated Grant Recipient before the date detailed in clause 23.1.

Yours sincerely

.....

**Tim Richens, Director of Investment and Corporate Services.**

**Authorised Signatory on behalf of the West of England Combined Authority**

**Acceptance:**

I have read carefully this Grant Offer Letter, including its Appendices, and accept the offer of funding on the conditions set out in it.

Signed: ..... Date: .....

Print Name: .....

Position within applicant: .....

On behalf of: **Grant Recipient.**



**APPENDIX A - CLAIM FORM**

***Claim Forms should be submitted on your corporate headed paper and substantially in the form below.***

Tim Richens  
 Director of Investment and Corporate Services  
 WECA, 3 Rivergate  
 Temple Meads  
 BRISTOL  
 BS1 6ER

DATE

Dear Tim

**West of England Employment support Innovation Pilot Programme.**

This claim for grant is for quarter X of financial year XX/XX. In making this claim I confirm that all Terms and Conditions of grant, as set out in the Grant Offer Letter for the ESIP Programme issued by WECA and signed by *recipient local authority* on *date GOL signed by recipient local authority*.

I confirm that the amount of expenditure properly incurred by *local authority* as at the date of this claim is xxxxxxxx.

Against our projected quarterly expenditure at the start of the programme, our current spend levels are (*delete as appropriate*) *above / below* our profile. In summary, this is for reasons of.....

COST HEADING	AMOUNT OF EXPENDITURE INCURRED IN THIS QUARTER	AMOUNT OF EXPENDITURE INCURRED (CUMULATIVE)	
Staff costs and overheads			
Participatory budgets			
Employer engagement			
Procured services			
Costs of external contractors			
<i>Add additional expenditure lines as necessary</i>			
<b>TOTAL INCURRED COSTS IN THIS QUARTER</b>			
	<b>TOTAL INCURRED COSTS TO DATE OF CLAIM</b>	£	
	<b>VALUE OF GRANT RECEIVED TO DATE</b>	£	
		<b>GRANT CLAIMED FOR SPEND THIS QUARTER</b>	

The attached Progress Report gives more detail on our performance to date.

Yours sincerely

Accountable Officer

## APPENDIX B – PROGRESS REPORT.

*This report should provide information regarding delivery of the Pilot over the last quarter. You should include as a minimum the details given under the headings below:*

<b>PROGRAMME MARKETING AND PROMOTION ACTIVITY</b> (Provide a summary of activity to promote participation in the Programme, include details of numbers of attendees and sign-ups from individuals at events or other marketing routes including direct communication from social housing providers to their households and more general routes such as social media channels, posters and leaflets. This should include promotion of the Programme to potential referral organisations.)
<b>ACHIEVEMENT OF PERFORMANCE INDICATORS</b> (Over the last quarter, and year-to-date. Include projections for future quarters and highlight over/under performance and mitigations.)
<b>BUDGET</b> (Provide additional detail in support of your Claim Form giving analysis of any under/over performance against projected expenditure and details of the next quarters projected expenditure)
<b>ISSUES ARISING</b> (Report on any issues arising that may impact upon delivery of the Programme. Detail any unforeseen benefits or unintended consequences of implementation of the Programme with actions taken or planned to ensure benefits continue to be captured and dis-benefits resolved.)
<b>LESSONS LEARNED</b> (What has worked well, what has worked less well or not at all)
<b>RISK MANAGEMENT</b> (Provide a summary of your three largest Programme level risks including mitigating actions taken or to be taken.)
<b>CASE STUDIES</b> (Include any written-up case studies.)

**APPENDIX C - PROGRAMME PERFORMANCE INDICATORS**

Performance Indicator	Definition	Total Year 1 (2017/18)		Total Year 2 (2018/19)		Total Year 3 (2019/20)	
Number of participants starts with an action plan.	Participants who have met with a Career Progression Coach, completed baseline data and created an action plan, recorded on database).	40	BCC: 40	2153	1190	807	270
			B&NES: 0		465		285
			SG: 0		498		252
Number of participants with increased skills through completion of further learning/training.	Participant has started learning or training as reported by Career Progression Coach or suppliers. The course type and title and the provider should also be captured.)	0	BCC:	817	477	1183	807
			B&NES:		160		523
			SG:		180		320
Number of participants who achieve a sustained increase in their wages as a result of activity on the programme.	As measured by earnings at project entry, exit from programme and six months subsequent.	0	BCC:	487	286	713	314
			B&NES:		95		205
			SG:		106		194
Number of employers engaged through the Programme.	Employers who have registered (informally or formally) their support for the local programme for their employees (captured through 1:1 and forums, with employer feedback and progress collated.)	25	BCC: 18	300	158	75	24
			B&NES: 3		67		30
			SG: 4		75		21

## **APPENDIX D – SAMPLE AUDIT REPORT.**

*The Auditors report should be written on headed paper, dated and addressed to You and the Accountable Body. The report should be substantially in the following form:*

1. We have examined the enclosed Claim Forms for the ESIP Programme from [the applicant] for the period from [date] to [date]. These claims have been prepared by and are the sole responsibility of the applicants Accountable Officer.
2. We have carried out a high level of assurance assignment by selecting a representative sample of expenditure items accounting for at least 10% of the grant funding claimed as reported in the Claim Forms submitted by the applicant for the previous year and performed the following tests:
  - a. [Name of Accountant] has selected a random sample of eligible expenditure incurred, as reported on the Claims, and traced them to invoices or other supporting documentation and evidence of payment to check that they have been properly incurred in accordance with the terms and conditions of the applicants Grant Offer Letter;
  - b. [Name of Accountant] confirms the arithmetical accuracy of the schedules relating to the Claims and agreed them to the appropriate supporting documentation. [Name of Accountant] has also checked whether the grant claimed by the applicant has been calculated in accordance with the terms and conditions of the Applicants Grant Offer Letter including that the Claims have been submitted in support of eligible expenditure.
  - c. [Name of Accountant] confirms the applicant has maintained adequate records to enable us to report on this claim and has made available all evidence that was used to prepare to Claims made in the period [date] to [date].
  - d. [Name of Accountant] confirms that all other terms and conditions of the offer letter as they relate to eligible expenditure and grant have been met and has seen adequate evidence to enable us to verify this.

### **Statement of any errors and reservations/exceptions.**

3. <These, if any, should be clearly stated here in bullet points.>

Based on the examination as above and subject to the possible financial effect of any reservations or qualifications set out in paragraph 3, [Name of Accountant] report that based on the findings, in [Name of Accountant's firm] opinion the Claims for grant payment meet the conditions of the applicants Grant Offer Letter dated [date].

Our report is prepared solely for the confidential use of the applicant and the West of England Combined Authority or any UK central government department and solely for the purpose of verifying the grant claimed.

It may not be relied upon by the applicant or West of England Combined Authority or any UK central government department for any other purpose whatsoever. Our report must not be recited or referred to in whole or in part in any other published document without our written permission except where disclosure is required as a result of a statutory obligation. Our report must not be

made available, copied or recited to any other party without our express written permission in every case except that the applicant or West of England Combined Authority or any UK central government department may disclose the report where it has a statutory obligation to do so. Other than to the applicant and West of England Combined Authority or any UK central government department [Name of Accountant] do not have any duty to any other party to whom this report may be disclosed.

The engagement to report on the Claim Forms is separate from, and unrelated to, the audit of the annual financial statements of the applicant and that the report relates only to the matters specified and that it does not extend to the grant recipient's annual financial statements taken as a whole.

*Name and signature of the reporting accountant.*

*Date of the report.*

*Name for enquiries*

DRAFT

**MEETING: Cabinet DATE: 06/03/2018**

<b>Title:</b> Bristol City Council Good Food & Catering Procurement Policy	
<b>Ward(s):</b>	All
<b>Author:</b> Grace Davies	<b>Job title:</b> Public Health Principal
<b>Cabinet lead:</b> Cllr Asher Craig	<b>Director lead:</b> Alison Comely
<b>Proposal origin:</b> <i>BCC Staff</i>	
<b>Decision maker:</b> Cabinet Member <b>Decision forum:</b> <i>Cabinet</i>	
<p><b>Purpose of Report:</b> Recommend that Bristol City Council approve the introduction of a policy for Good Food &amp; Catering Procurement, involving a hierarchy of <i>good food standards</i> that support health and sustainability. This will endorse improvements that have already been made and enable a clear and consistent approach, in line with national and local plans and commitments to improve health, reduce environmental impact and support the local economy.</p> <p><b>The standards to be included in the policy framework are found in Appendix A(iii)</b></p>	
<p><b>Evidence Base:</b></p> <ul style="list-style-type: none"> <li>• Bristol City Council spends £millions on food and catering every year, yet there is no BCC policy that ensures food &amp; catering is procured and delivered to a consistent standard to support health and sustainability. Standards therefore vary.</li> <li>• Introducing a policy involving a hierarchy of <i>good food standards</i> for BCC food &amp; catering supports our Corporate strategy of achieving “health in all policies”</li> <li>• It will support improvements to the nutrition of food in our public buildings, facilities and ‘via’ providers. This will include less sugar/salt/ saturated-fat, and more fruit/vegetables/fibre and access to drinking water, supporting a reduction in the rise of excess weight in children/adults.</li> <li>• It will support reduction in the environmental impact of food/catering we provide/contract/allow (e.g. reducing/ managing waste - food, packaging, disposables)</li> <li>• It will support our Fairtrade City status</li> <li>• DEFRA cites the Soil Association <i>FFL Served Here</i> as the most comprehensive accreditation available for demonstrating good-excellent compliance with the Government’s Plan for Public Procurement (2014).</li> <li>• <i>FFL Served Here</i> accreditation is being used as a procurement standard by an increasing number of local authorities, Schools and NHS Trusts, some of which have adopted it as policy</li> <li>• A number of existing BCC catering contracts have already procured to the <i>FFL Served Here</i> standards. This includes the Bristol Schools meal contract and Museums/M Shed, demonstrating that such a minimum standard is possible within budget.</li> <li>• Concessions/3rd party contracts at City hall and Mansion House have responded positively to <i>Good Food Standards</i> and the <i>Bristol Eating Better Award</i> and some are/intend to exceed this minimum standard proposed.</li> <li>• Work is being done to ensure that other existing catering contracts are engaged with <i>Good Food Standards</i> (eg. Café Create &amp; Horfield Leisure Centre have <i>Bristol Eating Better Award</i> Gold)</li> </ul>	
<p><b>Cabinet Member Recommendations:</b></p> <ul style="list-style-type: none"> <li>• To approve the policy framework for Good Food &amp; Catering Procurement, involving a hierarchy of <i>good food standards</i> that support health and sustainability.</li> <li>• To note that the <i>good food standards</i> will make use of the Soil Association <i>Food For Life (FFL) Served Here</i> award criteria and the <i>Bristol Eating Better Award</i> - applied appropriately depending on size, type and nature of the food/catering.</li> </ul> <p style="text-align: right;"><i>Councillor Asher Craig</i></p>	

<b>Capital Cost: £</b>	<b>Source of Capital Funding:</b>
<b>One off cost</b> <input type="checkbox"/> <b>Ongoing cost</b> <input type="checkbox"/>	<b>Saving Proposal</b> <input type="checkbox"/> <b>Income generation proposal</b> <input type="checkbox"/>
<b>Finance Advice:</b> This paper requests that BCC adopts minimum standards for the procurement of Food and Catering Services. No consequent financial impact is planned.	
<b>Finance Business Partner:</b> <i>Jemma Prince 2/1/18</i>	

<b>Corporate Strategy alignment:</b> Supports Key Commitments to: Improving Health; Health in all our policies; Reducing environmental impact
<b>Legal Advice:</b> When incorporating the <i>Good Food Standards</i> into procurement, the council will adhere to the principles of the EU treaty of non-discrimination & equal treatment; proportionality; mutual recognition; and transparency. <b>Further details - Appendix H</b>
<b>Legal Team Leader:</b> <i>Eric Andrews, Corporate and Governance Team, Legal Services 14/12/17</i>
<b>Implications on ICT:</b> No direct IT Implications are envisaged for this initiative. However, should there be any IT related requirements (such as BBC website changes), then IT and Digital Services will need to be engaged in a timely manner, through the Project Management Office."
<b>ICT Team Leader:</b> <i>Ian Gale (acting IT Lead) 16/01/2018</i>
<b>City Benefits:</b> <ul style="list-style-type: none"> <li>• Supports the economic, social and environmental well-being of the city (social value)</li> <li>• Supports increased procurement of healthier food and more sustainable food in public places</li> </ul>
<b>Consultation Details:</b> Standards proposed in 2015 following development of the <i>Good Food Charter</i> and <i>Good Food Plan for Bristol</i> . Included in Neighbourhoods Scrutiny Commission (Food) Dec 2015. Approaches discussed at BCC Catering/Food procurement Workshop 8 <sup>th</sup> June 2016. Further consultation with Procurement staff, Trading with Schools, Museums, Parks, Civic buildings, Workplaces, H&SC, Regulatory Services, Public Health, Food Policy Council, West of England Sustainable Food Procurement Group, Soil Association. <b>Appendix B</b>

<b>DLT Sign-off</b>	Becky Pollard/Sally Hogg	10 <sup>th</sup> January 2018
<b>SLT Sign-off</b>	Alison Comley	16 <sup>th</sup> January 2018
<b>Cabinet Member sign-off</b>	Cllr Asher Craig	25 <sup>th</sup> January 2018
<b>Mayor's Office sign-off</b>	Mayors Office	1 <sup>st</sup> February 2018

## APPENDICES

<b>Appendix A</b> <u>Policy Framework for Good Food &amp; Catering Procurement</u> i. Context ii. List of BCC catering contracts (subject to change) iii. <i>Good Food Standards</i> for procurement of Food & Catering	<b>YES</b>
<b>Appendix B</b> <u>Consultation carried out</u> (i) Neighbourhoods Scrutiny Commission – Dec 2015 (Theme 5 Transforming catering and food procurement ) (ii) Consultation during 2016/2017 (internal and external)	<b>YES</b>
Appendix C Summary of engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment	<b>NO</b>
Appendix E – <u>Equalities screening (Relevance check) of proposal</u>	<b>YES</b>
Appendix F – Eco-impact screening/ impact assessment of proposal -	<b>NO</b>
Appendix G – Financial Advice	<b>NO</b>

Appendix H – <u>Legal Advice</u>	<b>YES</b>
<p data-bbox="97 159 683 192">Appendix I – Combined Background papers</p> <p data-bbox="97 255 906 288"><b>DEFRA (2014) Plan for Public Procurement: Food &amp; Catering</b></p> <p data-bbox="97 293 1369 365"><a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/332756/food-plan-july-2014.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/332756/food-plan-july-2014.pdf</a></p> <p data-bbox="97 369 1394 403"><b>Department of Health (2017) Government Buying Standards for Food &amp; Catering Services</b></p> <p data-bbox="97 407 1394 479"><a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/595129/Healthier_and_more_sustainable_GBSF_checklist.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/595129/Healthier_and_more_sustainable_GBSF_checklist.pdf</a></p> <p data-bbox="97 483 1251 517"><b>PHE (2017) Strategies for Encouraging Healthier ‘out of home’ Food Provision: Toolkit</b></p> <p data-bbox="97 521 1059 555"><a href="#">Strategies for encouraging healthier 'out of home' food provision: toolkit</a></p> <p data-bbox="97 560 667 593"><b>Soil Association Food for Life Served Here</b></p> <p data-bbox="97 598 938 631"><a href="https://www.soilassociation.org/certification/catering/sectors/">https://www.soilassociation.org/certification/catering/sectors/</a></p> <p data-bbox="97 636 801 669"><b>Gov.uk. (2017) Childhood Obesity: A Plan for Action</b></p> <p data-bbox="97 674 1350 745"><a href="https://www.gov.uk/government/publications/childhood-obesity-a-plan-for-action/childhood-obesity-a-plan-for-action">https://www.gov.uk/government/publications/childhood-obesity-a-plan-for-action/childhood-obesity-a-plan-for-action</a></p> <p data-bbox="97 772 1353 844"><b>Joy Carey and Katrin Hochberg (2016) The role of private sector in the Bristol (UK) city region food system: Regional food supply into public sector food procurement</b></p> <p data-bbox="97 848 1378 920"><a href="http://www.ruaf.org/sites/default/files/The%20role%20of%20private%20sector%20in%20the%20Bristol%20city%20region%20food%20system-final_1.pdf">http://www.ruaf.org/sites/default/files/The%20role%20of%20private%20sector%20in%20the%20Bristol%20city%20region%20food%20system-final_1.pdf</a></p> <p data-bbox="97 925 475 958"><b>Bristol Eating Better Award</b></p> <p data-bbox="97 963 1193 996"><a href="https://www.bristol.gov.uk/food-business/bristol-eating-better-award-scheme">https://www.bristol.gov.uk/food-business/bristol-eating-better-award-scheme</a></p> <p data-bbox="97 1023 992 1057"><b>Food Active (2017) Local Authority Declaration on Healthy Weight</b></p> <p data-bbox="97 1061 1024 1095"><a href="http://www.foodactive.org.uk/projects/local-authority-declaration/">http://www.foodactive.org.uk/projects/local-authority-declaration/</a></p>	
Appendix J – Exempt Information	<b>NO</b>



## Appendix A: Policy Framework for Good Food & Catering Procurement

### (i) Context:

Bristol has made a commitment to work towards a healthier, more sustainable food system, one which reduces food poverty, supports local food businesses and reduces the environmental impact of the way in which we produce, consume and dispose of our food.

Bristol spends £millions on food and catering services annually and every public sector setting, from leisure centres and hospitals, to public open spaces, should have a food environment designed so that the easy choices are also the healthy ones (Gov.uk 2017).

Bristol City Council is a key partner in helping Bristol become both a healthier city and a *Gold Sustainable Food City*. Through the development and adoption of a Good Food and Catering Procurement Policy, Bristol can use its significant buying power and its control and influence over contracts, concessions and licences, to encourage healthier and more sustainable food consumption and drive local economic development.

***Good food*** is vital to the quality of people's lives in Bristol. As well as being tasty, healthy and affordable, the food we eat should be good for nature, good for workers, good for local businesses and good for animal welfare (Bristol Good Food Charter)

National and local policy drivers include:

- Childhood Obesity: A Plan for Action (Dept. of Health 2017)
- Strategy, Policy & Commissioning for Diet (National Institute for Clinical Excellence (2015)
- A Plan for Public Procurement: Food & Catering (DEFRA 2014)
- PHE (2017) Strategies for Encouraging Healthier 'out of home' Food Provision: Toolkit
- BCC Public Health priorities for Healthy Weight
- Food Active (2017) Local Authority Declaration on Healthy Weight
- Sugar Smart Bristol 2017 -2019
- Bristol's aspiration to become a Gold Sustainable Food City
- BCC Environmental Policy decision (Nov 2017)
- Our Resilient Future: A Framework for Climate and Energy Security (2015)
- Corporate Strategy (2018 – 2023)
- City Plan (Draft) 2017

Bristol City Council has a multitude of outlets where food supply and/or catering services contracts apply. It provides some catering services directly (in-house) and other outlets are serviced by third party contractors. These include catering concessions, cafes and private hire.

Food traded on our streets, in our Parks, at Markets and Events (mobile traders) is not subject to a procurement process, but is included in this policy in order to identify the need to bring improvement to food in these domains alongside the food & catering BCC currently procures.

Mobile food traders on our streets and in our Parks require a Street Trading Licence, subject to the current Street Trading Policy. Outdoor events (eg. Harbourside Festival) recruit mobile food vendors subject to an Outdoor Events Policy; whereas market food traders are recruited separately by Market Management. See table in section (ii) below for more information on the range of current food/catering across BCC.

DEFRA cites the Soil Association "*Food for Life Served Here*" as the most comprehensive tool currently available for demonstrating good or excellent compliance with the Government's Plan for Public Procurement: Food & Catering (DEFRA 2014). The *FFL Served Here* standards support provision of healthy and sustainable food and provide a good basis for our minimum procurement standards for food and catering, alongside our own *Bristol Eating Better Award Scheme*.

BCC's direct provision of food and catering are to follow *Good Food Standards*. Ashton Court & Blaise are already working to this standard – hoping to get FFL accreditation.

H&SC catering – work still needs to be done to support improvements.

A Policy for *Good Food & Catering Procurement* will apply to all food and catering contracts/concessions procured by Bristol City Council, based on a hierarchy of *good food standards* that support health and sustainability, and taking into account the nature and value of the catering service/contract.

It is not possible to estimate financial impact, particularly with the current instability around Brexit and food prices. Some changes support cost savings (eg waste reduction), whereas others increase cost. Advice from the Soil Association and from Brighton and Hove City Council (have adopted similar procurement policy) suggest no significant financial impact.

A follow-up to approval of a BCC policy should involve an audit of all our direct catering and our current catering/food contracts, concessions and mobiles, including identification of current status, improvements required to health and sustainability (eg. waste, sugar reduction) and measures/indicators to assess progress, including financial impacts.

## (ii) List of BCC Catering

Name of unit	BCC Direct food supply	Catering Contract or Concession	Licence	Expiry Date If known
<b>BCC WORKPLACES &amp; CIVIC VENUES</b>				
City Hall (cafe Gusto)		✓		2019
City Hall private hire (Pegasus)		✓		2019
Mansion House (Parsnip Mash)		✓		2019
Café Create		✓		None
<b>MUSEUMS</b>				
Bristol Museum & Art Gallery Café		✓		2017
Bristol Museum & Art Gallery Private Hire		✓		2017
M Shed Café		✓		2017
M Shed Private Hire		✓		2017
<b>LIBRARIES/OTHER</b>				
Central Library		✓		
Junction 3	✓			
Passenger Shed (Fosters)		✓		
City Café		✓		
City Hall ramp coffee			✓	
<b>PARKS</b>				
<a href="#">Arnos Vale Cemetery cafe</a>		✓		
Ashton Court - Ice Cream x2			✓	2018
Ashton Court Courtyard Café	✓			n/a
Ashton Court Golf Café	✓			n/a
Ashton Court Mansion				n/a
Blaise Estate - Ice Cream x2			✓	2018

Blaise Estate Café	✓			n/a
Brandon Hill - Ice Cream			✓	2018
Canford Park (Westbury-on-trym) Kiosk	✓			n/a
Castle Park			✓	2018
Downs x4 Ice Cream			✓	2017
Eastville Park - Ice Cream			✓	2018
Greville Smyth – coffee			✓	2016
Greville Smyth - Ice Cream			✓	2018
Hengrove Park café (at the play park)		✓		2016
Kings Weston Estate Café		✓		
Oldbury Court - Ice Cream			✓	2018
Oldbury Court (fishponds) Kiosk	✓			n/a
St Andrews Park			✓	no
St George Park		✓		
<a href="#">The Cafe on the Common at Horfield</a>			✓	
<a href="#">Cafe Retreat</a> (the Downs)			?	
Victoria Park			✓	no
<b>HARBOURSIDE</b>				
M Shed icecream			✓	2017
Bush Corner/Arnolfini			✓	2017
Hanover Quay/Harbour Way			✓	2017
Narrow Quay			✓	2017
Queen Square			✓	2020
Albion Dockside			✓	2017
Centre Promenade - crepes			✓	no
Centre Promenade – ice cream			✓	no
Centre Promenade – coffee			✓	no
Centre Promenade – hot food			✓	no
Centre Promenade – falafal			✓	no
<b>ADULT HEALTH &amp; SOCIAL CARE</b>				
Redfield Lodge EPH	✓			n/a
H&SC Day Centres	✓			n/a
Intermediate Care Service -Westleigh	✓			n/a
H&SC Community Meals Service	✓			n/a
North & South Rehabilitation units	✓			n/a
2 x BCL Cafes	?			
H&SC Frozen Meals (Apetito)		✓		2016
<b>SCHOOLS/EARLY YEARS</b>				
79 Bristol Primary Schools (Eden)			✓	2017
13 Bristol Primary Schools (Caterlink)			✓	2020
Early Years			✓	
<b>LEISURE CENTRES</b>				
Leisure Centre Café Horfield (SLM)		✓		2020

Hengrove Leisure Centre (Parkwood)		✓		
<b>MARKETS</b>				
St. Nicholas Market		15		
Corn Street Market (Farmers Market)		24		
Wine Street Food Market (Tues & Fri)		15		
<b>STREET TRADING</b>				
food trading licences			50 approx	
<b>OUTDOOR EVENTS</b>				
Harbourside Festival (July)				
Balloon Festival (August)				

### (iii) **Good Food Standards for procurement of food & catering services**

The *Good Food Standards* are based on the Soil Association *FFL Served Here* Silver requirements and are found in the Table below. The standards to be applied as follows:

- Contracts (including concessions) at the EU procurement threshold value<sup>1</sup> or above are required to be accredited with Silver as the minimum requirement. If a contractor does not have this award but can demonstrate that their offer meets the criteria, then they cannot be excluded from the procurement process. In this case, Bristol City Council would expect the contractor to attain this award within the first twelve months of the contract. Whilst these are the minimum standards, Bristol City Council aspire to see catering contracts looking ahead to achieving Gold.
- Food providers below the EU threshold<sup>1</sup>, where full accreditation to *FFL Served Here* is out of their reach – to be procured (and scored) to *Good Food Standards* and FFL silver level. They must be able to demonstrate they support the principles of the *Good Food Standards*, alongside achieving the *Bristol Eating Better Award* (at Gold level).  
Full details at [www.bristol.gov.uk/eatingbetteraward](http://www.bristol.gov.uk/eatingbetteraward)
- All BCC catering contracts & concessions (with the exception of mobile operators), regardless of value, will be expected to obtain the BCC *Bristol Eating Better award* (Gold).
- For Mobile Food operators, relevant specific criteria supporting the *Good Food Standards* will be agreed during 2018 in consultation with Licencing, Parks, Markets & Events teams and adopted into the Street Trading Policy through PSP (Public Safety & Protection) Group. These standards to be used (& extended as appropriate) for use with mobiles/ stalls in BCC Markets, Parks, and Outdoor Events.
- BCC's direct provision of food and catering should achieve *Good Food Standards* & FFL Silver, but accreditation not necessary.

<sup>1</sup> the full contract value (annual spend x length of contract) EU procurement threshold is £181K

**Summary of Good Food Standards** (\*catering service includes 'concession' contracts)

	<b>Standards based on Soil Association Food for Life Served Here Silver Award</b> More detail at <a href="https://www.soilassociation.org/certification/catering/sectors/">https://www.soilassociation.org/certification/catering/sectors/</a>	<b>Contracts applicable to</b>													
		<b>Food supply</b>	<b>Catering service*</b>												
<b>Fresh food preparation</b>	Minimum of 75% of dishes on menu are freshly prepared from unprocessed ingredients		✓												
<b>Meat</b>	<p>All meat is from farms which satisfy UK animal welfare standards and have, as a minimum, one of the following relevant accreditations:</p> <table border="0"> <tr> <td><i>Assured Food Standards (Red Tractor Assurance)</i></td> <td><i>Farm Assured Welsh Livestock (FAWL)</i></td> </tr> <tr> <td><i>Quality Meat Scotland (QMS)</i></td> <td><i>Farm Quality Assurance Scheme (FQAS)</i></td> </tr> <tr> <td><i>AHDB Beef and Lamb (English beef and lamb)</i></td> <td><i>SAI Global/EFSIS Assured Farm Venison</i></td> </tr> <tr> <td><i>British Poultry Council Duck Assurance Scheme</i></td> <td><i>Quality British Turkey (in assoc with Red Tractor)</i></td> </tr> <tr> <td><i>Bristol Quality Assured Pork Standard</i></td> <td><i>Organic</i></td> </tr> <tr> <td><i>RSPCA Assured</i></td> <td></td> </tr> </table> <p>Higher welfare standards from this list will be encouraged where available/affordable/appropriate Other accreditations may be added to this list if they are deemed to be equal or of a higher standard</p>	<i>Assured Food Standards (Red Tractor Assurance)</i>	<i>Farm Assured Welsh Livestock (FAWL)</i>	<i>Quality Meat Scotland (QMS)</i>	<i>Farm Quality Assurance Scheme (FQAS)</i>	<i>AHDB Beef and Lamb (English beef and lamb)</i>	<i>SAI Global/EFSIS Assured Farm Venison</i>	<i>British Poultry Council Duck Assurance Scheme</i>	<i>Quality British Turkey (in assoc with Red Tractor)</i>	<i>Bristol Quality Assured Pork Standard</i>	<i>Organic</i>	<i>RSPCA Assured</i>		✓	✓
<i>Assured Food Standards (Red Tractor Assurance)</i>	<i>Farm Assured Welsh Livestock (FAWL)</i>														
<i>Quality Meat Scotland (QMS)</i>	<i>Farm Quality Assurance Scheme (FQAS)</i>														
<i>AHDB Beef and Lamb (English beef and lamb)</i>	<i>SAI Global/EFSIS Assured Farm Venison</i>														
<i>British Poultry Council Duck Assurance Scheme</i>	<i>Quality British Turkey (in assoc with Red Tractor)</i>														
<i>Bristol Quality Assured Pork Standard</i>	<i>Organic</i>														
<i>RSPCA Assured</i>															
<b>Fish</b>	No fish on the Marine Conservation Society 'fish to avoid' list should be used. Note that the list changes periodically so keep referring to the latest version <a href="http://www.fishonline.org/fish-advice/avoid">www.fishonline.org/fish-advice/avoid</a> .	✓	✓												
<b>Eggs</b>	All eggs are from certified free range hens	✓	✓												
<b>Additives</b>	<p>No products or ingredients must not contain the following additives:</p> <p><b>Colourings:</b>                      E102 tartrazine                      E104 quinoline yellow                      E107 yellow 2G                      E110 sunset yellow                      E120 cochineal                      E122 carmoisine                      E123 amaranth                      E124 ponceau 4R</p>	✓	✓												

	<b>Standards based on Soil Association Food for Life Served Here Silver Award</b> More detail at <a href="https://www.soilassociation.org/certification/catering/sectors/">https://www.soilassociation.org/certification/catering/sectors/</a>	<b>Contracts applicable to</b>	
		<b>Food supply</b>	<b>Catering service*</b>
	E129 allura red E131 patent blue V E132 indigo carmine E133 brilliant blue FCF E151 black PN <b>Flavour enhancers:</b> E621 monosodium glutamate E635 sodium 5 – ribonucleotide <b>Sweeteners:</b> E950 acesulfame K E951 aspartame E954 sodium saccharine <b>Preservatives:</b> E210 benzoic acid E211 sodium benzoate		
<b>Trans fats</b>	No products or ingredients to contain artificial trans fats (partially hydrogenated fats)	✓	✓
<b>GM</b>	Ingredients must not be genetically modified	✓	✓
<b>Water</b>	Free drinking water is prominently available. Catering outlets should sign up to Refill Bristol where possible		✓
<b>Seasonality</b>	Evidence of use and promotion of in-season produce (UK seasonality)	✓	✓
<b>Provenance</b>	Information must be on display about where food comes from. Eg. the names of farms and/or local food businesses supplying locally produced ingredients could be displayed on menus, blackboards, posters, or communicated to customers through flyers, websites or newsletters		✓
<b>Diet/cultural needs</b>	Menus must provide for all dietary and cultural needs		✓
<b>Food safety</b>	All suppliers will be verified to ensure that appropriate food safety standards are applied	✓	✓
<b>Training</b>	Catering staff are supported with skills training in fresh food preparation	✓	✓

	<b>Standards based on Soil Association Food for Life Served Here Silver Award</b> More detail at <a href="https://www.soilassociation.org/certification/catering/sectors/">https://www.soilassociation.org/certification/catering/sectors/</a>	<b>Contracts applicable to</b>	
		<b>Food supply</b>	<b>Catering service*</b>
<b>Fairtrade</b>	Certified Fairtrade products should be sourced and used where possible. At a minimum tea, coffee, cocoa and bananas must be used. Bristol Fairtrade City status (obtained 2005).	✓	✓
<b>Waste</b>	An annually reviewed clear plan for reducing and minimising the environmental impact of food waste and associated waste from food packaging/disposables must be implemented and communicated to the public	✓	✓
<b>Nutritional standards</b>	Caterers in schools and academies, early years, residential care settings and hospitals must demonstrate their compliance with national standards or guidelines on food and nutrition. <a href="https://www.gov.uk/government/publications/sustainable-procurement-the-gbs-for-food-and-catering-services">https://www.gov.uk/government/publications/sustainable-procurement-the-gbs-for-food-and-catering-services</a> <a href="http://www.childrensfoodtrust.org.uk/childrens-food-trust/schools/school-food-standards/">http://www.childrensfoodtrust.org.uk/childrens-food-trust/schools/school-food-standards/</a> <a href="https://www.gov.uk/government/news/healthy-eating-guidance-published-for-the-early-years-sector">https://www.gov.uk/government/news/healthy-eating-guidance-published-for-the-early-years-sector</a> <a href="http://www.thenacc.co.uk/shop/product/Nutritional+Standards+for+Adults">http://www.thenacc.co.uk/shop/product/Nutritional+Standards+for+Adults</a> <a href="http://www.thenacc.co.uk/shop/product/A+Recommend+Standard+for+Community+Meals">http://www.thenacc.co.uk/shop/product/A+Recommend+Standard+for+Community+Meals</a> <a href="https://www.gov.uk/government/publications/establishing-food-standards-for-nhs-hospitals">https://www.gov.uk/government/publications/establishing-food-standards-for-nhs-hospitals</a>		✓
<b>Healthy eating</b>	Healthy eating choices for customers must be made as easy as possible and evidenced with achievement of the <i>Bristol Eating Better Award</i> at Gold.		✓
<b>Championing Local</b>	Contractors must aim to champion local suppliers and producers, where available, affordable and appropriate	✓	✓

- Additional criteria (outside the *FFL Served Here*) have been included for Fairtrade, Health, and Waste - as these fit with council policy/priorities

## Appendix B Consultation

### (i) Neighbourhoods Scrutiny Commission

**Subject:** Food

**Date:** 18 December 2015

**Contact:** Alison Comley – Strategic Director, Neighbourhoods

#### 1. Scoping paper – Food

At the summer scrutiny planning workshop, members identified ‘food’ as a topic which they would like to investigate further through scrutiny. ‘Food’ as a subject is potentially extremely broad and the purpose of this paper is to make scrutiny members aware of the scope of the subject and to inform them of the wide range of activity (both within the Council and more broadly across the city) which is currently being undertaken in support of the food agenda.

#### Summary of current position

Theme	What are we required to do (e.g. by statute, guidance)?	What are we currently doing?	What more could we do? What is our aspiration?	Does BCC lead on this? Who are our key partners?
<p style="text-align: center;">5 Transforming catering and food procurement</p>	<p>BCC specific commitments in this area include:</p> <p>Council resolution on genetically modified organisms Fairtrade Policy Bristol Good Food Charter Bristol Food Standards</p>	<p>The new Schools contract has Soil Association ‘Gold’ in the specification – to be achieved in the first 2 years.</p> <p>A pilot Soil Association benchmarking process has just been carried out for the two caterers who have the BCC hospitality and events contracts.</p> <p>The Specification for new contracts (agreed by a working group from Public Health, The Sustainable City Team and Procurement last year), includes an obligation for the caterers to achieve the Silver standard of the Soil Association Catering Mark during the 2 year contract.</p> <p>Other council contracts include the catering that is provided directly by BCC (Ashton Court, Parks and EPH/Care Homes).</p>	<p>There are other catering contracts that will need, for consistency, to have similar high standards when they are re-tendered. This includes:</p> <p>Museums M Shed Libraries Community Meals Create Centre</p> <p>Public Health are currently liaising with Procurement, Sustainable City Team, Business Change and others in Neighbourhoods to make this happen for all contracts as they come up for renewal.</p> <p>We are exploring options for developing a suitable benchmark for use by smaller caterers.</p>	<p>BCC leads on this policy area for the purposes of its own procurement and catering provision.</p> <p>The council jointly leads a newly created West of England Sustainable Food/Catering Procurement Working Group.</p>



**Appendix B (ii)**  
**CONSULTATION list 2017/2018**

<b>Team/Directorate/Other</b>	<b>Notes</b>
NEIGHBOURHOODS – Parks	
PLACE – Facilities Management	City Hall, civic venues
PEOPLE - H&SC	EPH, meals on wheels, H&SC outlets
PEOPLE – Procurement - Schools	Applying the Procurement standards
PLACE - Sustainability	Affects the city's sustainability aspirations Bristol Energy
Councillors	All Councillors briefings booked for 21 <sup>st</sup> and 28 <sup>th</sup> Feb 2018
NEIGHBOURHOODS - Public Health	Healthy Lifestyles  Leisure Centres  Children/Young People  Adults/ Older People
Food Safety; Street Trading; Markets; Events	
PLACE – Culture & Museums	
DMT/SLT Support Business Partners BCC Policy support	
BCC Catering Contractors	
Food Policy Council WofE Sustainable Food Group Soil Association	

## Appendix E

### Bristol City Council Equality Impact Relevance Check

This tool will identify the equalities relevance of a proposal, and establish whether a full Equality Impact Assessment will be required. Please read the guidance prior to completing this relevance check.

<b>What is the proposal?</b>	
Name of proposal	Bristol City Council Good Food Standards for Procurement of Food & Catering Services
Please outline the proposal.	For BCC to adopt minimum standards for procurement of Food and Catering Services (to be known as the Good Food Standards). This will support consistency in bringing food and catering under BCC control in line with national and local plans and commitments, including the Government's Obesity Action Plan (2017), the Plan for Public Procurement (2014), our Sustainable Food City (Silver) status and The proposed City Plan.
What savings will this proposal achieve?	Savings may occur as a result of streamlining contracts, but the main purpose is to improve quality and standards for procurement of food and catering services.
Name of Lead Officer	Grace Davies, Public Health Principal
<b>Could your proposal impact citizens with protected characteristics?</b> (This includes service users and the wider community)	
Please outline where there may be significant opportunities or positive impacts, and for whom.	
This could have a positive impact for health through the procurement of better quality food and for employment through the use of local food sources and suppliers. It should help to reduce food miles, food packaging and food waste, having an environmental benefit on the wider community. Customers receiving meals through the council's largest catering contracts include the more vulnerable in the city (eg. via school meals, community meals, use of parks and public venues). The <i>Food for Life Served Here</i> standard includes nutritional standards that uphold the national standards for community and school meals. The <i>Food for Life</i> programme has also been recognised (by The Royal Society for Public Health - RSPH) for its approach to tackling health inequalities.	
No significant negative impacts have been identified.	

<b>Could your proposal impact staff with protected characteristics?</b> (i.e. reduction in posts, changes to working hours or locations, changes in pay)	
Please outline where there may be significant opportunities or positive impacts, and for whom.	
It is not anticipated that these changes will have a direct impact on staff with protected characteristics. A positive impact will be the requirement for all those managing food and catering contracts to work together to ensure we meet our minimum food standards and achieve the best value food procurement. BCC already makes provision in its catering contracts for different dietary requirements. In addition, these <i>Good Food Standards</i> include the requirement <b>Menus should provide for all dietary and cultural needs</b> . Therefore, when designing the specification for contracts, contractors	

will need to demonstrate they are able to provide foods that are culturally appropriate and take account of different dietary needs.

No negative impacts identified

**Is a full Equality Impact Assessment required?**

Does the proposal have the potential to impact on people with protected characteristics in the following ways:

- access to or participation in a service
- levels of representation in our workforce
- reducing quality of life (i.e. health, education, standard of living)

Please indicate yes or no. If the answer is yes then a full impact assessment must be carried out. If the answer is no, please provide a justification.

NO This is about meeting minimum standards across a range of food and catering contracts which will improve food provision through better quality food, use of local suppliers and less food waste and packaging.

Service Director sign-off and date:  
*Becky Pollard 2/1/18*

Equalities Officer sign-off and date:  
*Cherene Whitfield 4 December 2018*

## **Appendix H Legal Comment**

*(Eric Andrews, Corporate and Governance Team, Legal Services 14/12/17)*

The Council is permitted to specify standards and criteria relating to the procurement of food and their production process (where they are objectively justifiable) however what is not permitted to do is only allow those accreditations to the exclusion of others. Procurements should be devised in a way which will allow the authority to accept not only equivalent accreditations but also be able to accept other accreditation and/or evidence which will allow the bidder to show that they meet the standard rather than the accreditation. Consideration will need to be given to how assessment of tenders will be conducted and how the tenderer might be able to meet the requirements without having the necessary accreditation.

The authority should be able to specify the standards they require without making the particular accreditation compulsory (i.e. an evaluation/award criteria). It should consider the standards required and how these might be met by those who do not have a particular accreditation, and consider those bidders who are not inside the UK and how they are able to meet the standards without the specific accreditation.

<b>Title: Affordable Housing Practice Note (AHPN) 2018</b>	
<b>Ward(s):</b>	<i>Citywide</i>
<b>Author: Tim Southall</b>	<b>Job title: Housing Delivery Manager</b>
<b>Cabinet lead: Councillor Paul Smith</b>	<b>Director lead: Colin Molton</b>
<b>Proposal origin:</b> <i>Councillor</i>	
<b>Decision maker: Mayor</b> <b>Decision forum:</b> <i>Cabinet</i>	
<b>Purpose of Report:</b> To seek Cabinet approval to a revised Affordable Housing Practice Note (AHPN) that will provide updated guidance to developers when submitting eligible residential planning applications and incentivise developers to increase affordable housing supply in advance of a new Bristol Local Plan.	
<b>Evidence Base:</b> The Housing Delivery Plan, approved in March 2017, recognised that urgent action was needed to help address the falling proportion of completed affordable homes delivered through the planning system. The proportion of gross affordable homes to market homes had fallen from the highest levels of 25% in 2009/10 to only 12% in 2015/16. The Council commissioned Tetlow King, housing and planning consultants in September to research and market test potential adoption of an affordable housing threshold of 20% in the central areas of the city where the greatest affordable housing undersupply. Tetlow King's research and market investigations have confirmed that a threshold approach, as recently adopted by the Greater London Authority, would be appropriate specifically in the central areas of Bristol. They further confirmed that threshold approach has the ability to deliver more affordable homes if the Council is able to offer adequate incentives to housebuilders and developers.	
<b>Cabinet Member / Officer Recommendations:</b> To adopt the Affordable Housing Practice Note 2018, recognising that it is only an interim measure that does not introduce new policy and supports the implementation of the existing Bristol Local Plan. Further to note the responses to the engagement process in Appendix B.	
<b>Revenue Cost: £ None</b>	<b>Source of Revenue Funding: N/A</b>
<b>Capital Cost: £ None</b>	<b>Source of Capital Funding: N/A</b>
<b>One off cost <input type="checkbox"/> Ongoing cost <input type="checkbox"/></b>	<b>Saving Proposal <input type="checkbox"/> Income generation proposal</b>
<b>Finance Advice:</b> Finance Business Partner: There are no direct financial implications for Bristol City Council arising from the proposed changes to the Affordable Housing Practice Note. There will be wider economic and social benefits for Bristol where the supply of affordable homes increased – Neil Sinclair Finance Business Partner – 16 <sup>th</sup> January 2018	
<b>Corporate Strategy alignment:</b> Bristol's Corporate Plan 2018-23 confirms the Mayors commitment to delivering 2000 market homes of which 800 are affordable homes each year by 2020 the provision of affordable homes through the planning system is a major element of the overall affordable homes delivery.	
<b>Legal Advice:</b> The AHPN will constitute guidance and not formal adopted policy therefore it is not considered that there are any specific legal implications or risks arising in relation to this proposal.	
<b>Legal Team Leader:</b> Joanne Mansfield 17 <sup>th</sup> January 2018	
<b>Implications on ICT:</b> There are no identifiable IT implication in this initiative	
<b>ICT Team Leader:</b> Ian Gale, Service Manager Delivery & Integration 30 <sup>th</sup> January 2018	
<b>City Benefits:</b> The delivery of affordable housing through the planning system is a key component of the creation of mixed and balanced communities and improving the economic and social wellbeing of the city. By improving the supply of suitable and affordable homes helps counter social inequalities and improves citizens ability to access social, educational, health and economic opportunities in the city	
<b>Consultation Details:</b> Engagement with stakeholders took place – September and October 2017. Further engagement with Housebuilders, Registered Providers and Community Led Housing organisations during December through to 11th January 2018. The results of this process is included in Appendix B.	

<b>DLT Sign-off</b>	Alison Comley	27 <sup>th</sup> December
<b>SLT Sign-off</b>	Nicky Beardmore/Colin Molton	16 <sup>th</sup> January
<b>Cabinet Member sign-off</b>	Councillor Paul Smith	22 <sup>nd</sup> January
<b>For Key Decisions - Mayor's Office sign-off</b>	Mayor	30 <sup>th</sup> January

Appendix A – Summary of Affordable Housing Practice Note 2018 See below in Appendix A. (Final version will be published in March if approval given )	<b>YES</b>
Appendix B – Details of consultation carried out - internal and external See below in Appendix B	<b>YES</b>
Appendix C – Summary of any engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment: See below in Appendix D	<b>YES</b>
Appendix E – Equalities screening / impact assessment of proposal See below in Appendix E	<b>YES</b>
Appendix F – Eco-impact screening/ impact assessment See below in Appendix F	<b>YES</b>
Appendix G – Financial Advice – See text above	<b>YES</b>
Appendix H – Legal Advice See text above	<b>YES</b>
Appendix J – Exempt Information - None	<b>NO</b>

## Summary of Affordable Housing Practice Note 2018

### 1. Overview of key changes

The Affordable Housing Practice Note was first published in 2009 with a revision in 2014. It provides guidance on the implementation of the council's affordable housing policies, as set out in the Bristol Local Plan.

Since publication of AHPN 2014, a number of changes have been made to national planning practice guidance regarding affordable housing. These include:

- A new site size threshold for affordable housing contributions;
- Exemption from affordable housing contributions where vacant buildings have been brought back into use (vacant building credit);

Developments at the local level have also prompted a review of the council's procedures for securing and delivering affordable housing, in particular:

- Publication of Bristol City Council's draft Corporate Strategy (2018-23) with mayoral objective to build 800 affordable homes a year by 2020.
- Increasing public scrutiny of the level of affordable housing being offered and achieved as part of major planning applications.
- Full council resolution on affordable housing in December 2016 to instruct planning officers to make information on the viability process publicly available and in good time and to look for ways to encourage and incentivise developers to include a mix of affordable homes in their plans.

To reflect these national and local developments the council's Affordable Housing Practice Note has been updated but does not seek to introduce new policy. The key changes are summarised as follows:

#### ***New application validation requirements***

The council's Planning Application Requirements Local List will require the submission of an Affordable Housing Statement. To validate the application the submitted statement must:

- clearly set out the affordable housing offer; and
- include a full, un-redacted viability appraisal of the submitted proposal where neither policy targets nor the new threshold (see below) have been met.

#### ***Public availability of viability appraisals***

Developers' viability appraisals submitted with planning applications in accordance with the Planning Application Requirements Local List are made available on the Bristol City Council public website.

#### ***New 'threshold' approach to viability assessments***

Applications that meet a threshold of at least 20% affordable housing within the city's Inner West and Inner East zones under policy BCS17 (normally a 40% policy target) will not be subject to viability testing. The applicant must agree to commence the scheme within 18 months of the permission being granted. If no confirmation of the start date of the scheme is received within this period applicants must agree to viability testing.

### ***Revised definition for affordable homes to rent***

Greater flexibility in applying the council's tenure requirements for affordable housing provided certain conditions are met. In such circumstances the council will accept 100% affordable rent, as defined below, as an alternative to 77% Social Rented and 23% Intermediate affordable housing:

*Affordable Rent (up to 100% of the affordable housing requirement):* Homes to rent let by local authorities or private registered providers of social housing at an agreed percentage of open market rent (inclusive of service charges) which is below the prevailing Local Housing Allowance limits for different property types in the Bristol Area.

### ***'Additional' affordable homes***

Where the applicant meets the 20% threshold (see above) and this has been agreed with the council and secured through a S106 agreement the applicant will be encouraged to enter into a dialogue with Bristol City Council and the Homes and Communities Agency to secure funds for additional affordable homes. The 'additional' affordable homes will be secured through a separate funding agreement.

The purpose of these changes is to:

- Ensure the affordable housing offer is clear and justified at the start of the statutory period for deciding applications to enable early and effective negotiations with the applicant where this is necessary and to better manage responses from interested parties;
- Make the viability appraisal process more transparent;
- Incentivise the provision of a more meaningful proportion of affordable housing to deliver affordable homes at a level that (alongside other council initiatives) that achieves the Corporate Strategy objective of 800 affordable homes by 2020.
- Speed up the planning process for developers that commit to a minimum delivery of affordable homes;
- Provide developers with greater flexibility in the type of affordable homes delivered.

The overall aim is to increase the number and accelerate the delivery of affordable homes through the planning system.



## **2. Local Plan Policy**

The council's affordable housing policies, set out in the Bristol Local Plan, are consistent with National Planning Policy. The policies identify when affordable housing provision will be required and indicate the proportions that will be sought. This includes either 30% or 40% based on location for schemes of 15 dwellings and over; and 10% or 20% based on location for schemes of 10 to 14 dwellings. The relevant policies are set out below. The locations where differing percentages are sought are shown in Fig. 1 below.

### **Local Plan - Core Strategy (Adopted June 2011)**

#### **Policy BCS 17: Affordable Housing Provision**

Affordable housing will be required in residential developments of 15 dwellings or more. The following percentage targets will be sought: through negotiation:

- 40% in North West, Inner West and Inner East Bristol;
- 30% in all other locations.

In residential developments below 15 dwellings an appropriate contribution towards the provision of affordable housing may be sought (either as a financial contribution or as on site provision) in accordance with any relevant policy in the Site Allocations and Development Management Development Plan Document.

Residential developments should provide a mix of affordable housing units and contribute to the creation of mixed, balanced and inclusive communities. The tenure, size and type of affordable units will reflect identified needs, site suitability and economic viability.

### **Local Plan - Site Allocations and Development Management Policies (Adopted July 2014)**

#### **Policy DM3: Affordable Housing Provision: Smaller Sites**

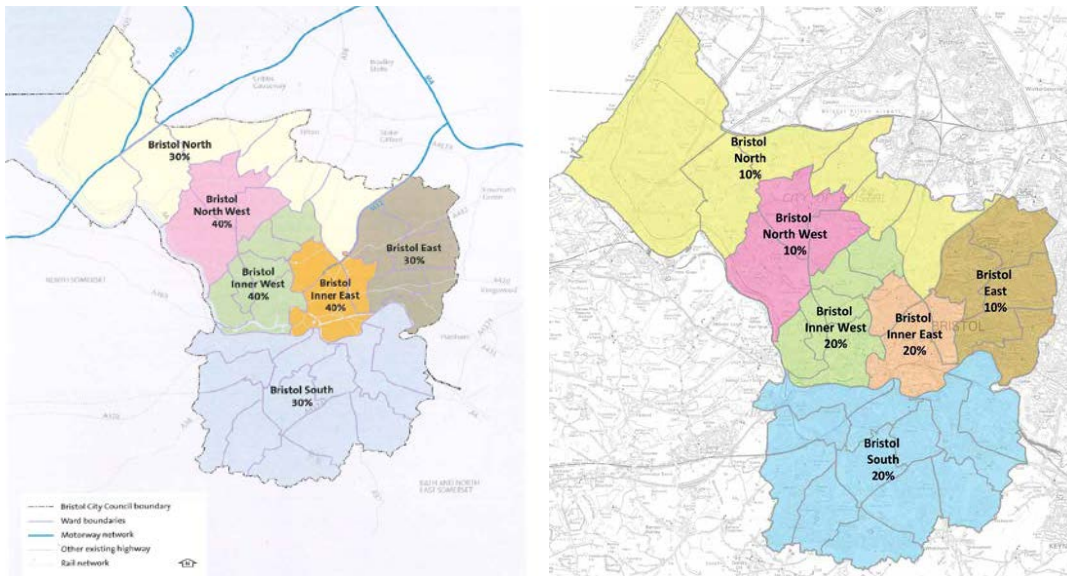
Residential developments comprising 10 to 14 dwellings should make an appropriate contribution towards the provision of affordable housing on-site or, where on-site provision cannot be practicably achieved, as an equivalent financial contribution. The following percentage targets will be sought through negotiation:

20% in Inner West, Inner East and South Bristol  
10% in North West, East and North Bristol

Where units are provided on-site these should remain at an affordable price for future eligible households or, if this restriction is lifted, for the subsidy to be recycled for alternative affordable housing provision.

Where scheme viability may be affected, developers will be expected to provide full development appraisals to demonstrate an alternative affordable housing provision.

**Fig. 1: Affordable Housing Zones**



*Policy BCS17*

*Policy DM3*

The AHPN has been prepared to provide guidance on the implementation of these policies but does not introduce new policy. It explains the mechanism for the delivery of affordable homes in Bristol setting out the key **principles** and **processes**.

The AHPN will be of interest to applicants and their agents, landowners, developers, the Homes and Communities Agency, Registered Providers and Bristol City Council's Development Management Officers (DMO's) and Housing Delivery Team (HDT).

The AHPN supersedes Affordable Housing Practice Note 2014.

### **3. Principles for delivering affordable housing in Bristol**

#### ***Understanding affordable housing need***

##### *West of England Strategic Housing Market Assessment 2009*

In accordance with national policy Bristol City Council and other West of England authorities commissioned a Strategic Housing Market Assessment (SHMA) in 2007 to understand the workings of housing markets both at the West of England and local level. The West of England SHMA, published in 2009, demonstrated a high level of need for affordable housing within Bristol estimating a net annual requirement for the city of approximately 1,500 new affordable homes up to 2021. The West of England SHMA also provided estimated tenure requirements. For Bristol this was a 77% requirement for social rented affordable housing and a 23% requirement for intermediate affordable housing. The 2009 assessment provides the needs based evidence to support the council's affordable housing policies. A summary of outputs is set out at Appendix 2.

##### *Wider Bristol Strategic Housing Market Assessment 2015*

A new SHMA was commissioned by Bristol City Council and other West of England authorities in 2014 to establish the 'Objectively Assessed Need' for housing across the wider Bristol housing market area. The Wider Bristol SHMA published in 2015, continues to demonstrate a high level of need for affordable housing across the region and within Bristol estimating a requirement for the city of some 18,800 new affordable homes between 2016 and 2036. This equates to 940 affordable homes per annum. The Wider Bristol SHMA also provides estimated tenure requirements. For Bristol this is an 80% requirement for social rented affordable housing and a 20% requirement for affordable rent and shared ownership affordable housing. The 2015 assessment will provide the needs based evidence to support policies in the emerging West of England Joint Spatial Plan. Based on the findings of the 2009 and 2015 SHMA's the council expects all eligible residential development to contribute towards an evidenced city-wide need for affordable housing.

#### ***Approach to affordable housing proportions***

On submission of the application the applicant will be expected to meet the affordable housing target proportions set out in relevant Local Plan policies without public subsidy.

It is accepted that, in some circumstances, due to financial viability, it may not be possible to meet the full policy requirement. In such cases the proportion offered must either meet a threshold level (see below) or else be justified by a full un-redacted viability appraisal to be submitted with the planning application. The appraisal will be subject to a validation process where agreement will be sought between the applicant and the council on the maximum level of affordable housing that can be delivered without affecting scheme viability. Further viability testing will also be carried out over the period of the development.

## **'Threshold approach' to viability**

Since adoption of the council's affordable housing policies monitoring of proportions of affordable housing secured through section 106 agreements and subsequent completions has shown that the council's higher policy targets have not been consistently met.

To encourage the provision of a more meaningful proportion of affordable housing, above the level currently being delivered, the council has introduced a 'threshold approach' to policy BCS17 that will apply in Bristol Inner West and Inner East zones. In these zones applications meeting or exceeding 20% affordable housing can follow a 'Fast Track' route.

The following general terms will apply to these applications.

The applicant will agree to:

- commence the scheme within 18 months of the permission being granted;
- a viability testing process if no confirmation of the start date of the scheme has been received within 18 months of the date of planning permission

The council will:

- waive the requirement for a viability appraisal to be submitted with the application;
- consider greater flexibility with tenure requirements;
- provide an effective application process by encouraging the use of:
  - o enhanced Planning Performance Agreements (PPAs) - Premium service through dedicated staffing resource;
  - o Planning Performance Agreements (PPAs) to accelerate the discharge of planning conditions;
  - o model Section 106 agreements with standard affordable housing clauses to speed up the completion of s106 agreements.

The 'threshold approach' reduces the need for protracted and uncertain viability negotiations and offers far greater certainty to developers. This will help to deliver more affordable housing through the planning system whilst also ensuring development comes forward at a faster rate. The 'threshold approach' does not set a new target for affordable housing, instead it identifies the point at which the approach to the submission of viability information changes.

The developer is expected to provide affordable homes on site **without any public subsidy** in line with the council's affordable housing policy. Where the homes are to be transferred to a registered provider the developer subsidy will be equivalent to the funding gap between the total cost of providing the home and the amount paid by a registered provider to secure the unit.

### ***Approach to public subsidy***

The council and Homes and Communities Agency require that all affordable housing secured from private development through Section 106 agreements be delivered without public subsidy. Where affordable housing has been maximised through private development the council will consider the use of public subsidy as follows:

- Where the applicant has offered either the fully compliant policy level or the threshold level of at least 20% affordable housing within relevant zones under policy BCS17 and this has been agreed by the council and secured through a Section 106 agreement the applicant's selected registered provider will be eligible to seek funds for additional affordable rent homes from Bristol City Council and the Homes and Communities Agency. Such additional affordable homes will be secured through a separate funding

agreement.

- In all other cases where the applicant has offered a level of affordable housing below the policy target proportions and this has been validated, agreed by the council and secured through a Section 106 agreement the use of public subsidy will be considered to address the shortfall against policy targets.

### ***Approach to affordable housing tenure***

The council's approach to seeking particular affordable housing tenure types is determined by local housing needs evidence (see section 3.1) and guided by the national planning policy definition of affordable housing (see Appendix 1). The indicative citywide tenure requirements for Bristol are 77% social rented affordable housing and 23% intermediate affordable housing. The council will therefore seek the following affordable housing products as prioritised:

- 1. Social Rent:** Affordable homes as defined in Annex 2 of the NPPF with guideline target rents.
- 2. Shared ownership:** Affordable homes as defined in Annex 2 of the NPPF as 'intermediate' affordable housing. Homes to be sold at 40% equity sale and up to 1% rental on retained equity.

The council may consider adjusting the balance between tenures to meet the particular local needs or other housing requirements of a locality or neighbourhood in order to promote balanced and sustainable communities. For example, where a scheme is being developed in a neighbourhood where local residents are specifically seeking shared ownership or shared equity options, or neighbourhoods with existing high concentrations of social rented homes or low income households, it may be appropriate to change the balance in favour of a higher proportion of shared ownership or shared equity affordable homes.

### ***Flexibility on tenure requirements***

Where the applicant has agreed to meet the threshold proportion of 20% affordable housing under policy BCS17 within Bristol Inner West and Inner East zones the council may consider alternative forms of affordable housing tenure to those normally prioritised above. Such tenures must be demonstrated as affordable. Acceptable alternative tenures can include the following:

*As an alternative to 77% Social Rented and 23% Intermediate affordable housing:*

**Affordable Rent (up to 100% of the affordable housing requirement):** Homes to rent let by local authorities or private registered providers of social housing at an agreed percentage of open market rent (inclusive of service charges) which is below the prevailing Local Housing Allowance limits<sup>1</sup> for different property types in the Bristol Area.

### ***Approach to service charges***

The service charge is the amount payable on an affordable home in addition to rent/mortgage which includes all estate management charges, ground rents, services, repairs, maintenance and improvements of a communal nature and the insurance of the building. The level of service charge can be a material planning consideration as this affects the relative affordability of the unit. The council will seek to ensure via the s106 agreement that the total occupation costs to affordable housing occupiers remain affordable in the long term. The council would not expect a service charge to exceed £250 per annum in respect of a house and £650 per annum in respect of a flat. Early consultation is recommended, as good design can overcome the need for high service charges.

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<sup>1</sup> The limit on benefit paid to tenants who rent from private landlords based on property type. Determined by the Valuation Office for the Bristol area

<b>Issue</b>	<b>Respondents comments</b>	<b>BCC response</b>	<b>Suggested change to AHPN text</b>
<b>Consultation/ Engagement with stakeholders</b>	Concern raised at BRISTOL HOMES BOARD that initial consultation was limited to focus groups with housebuilders and RPs.	AHPN is guidance rather policy document does not require a formal consultation. Nonetheless two further focus groups held including Community led housing groups. Followed by an 'engagement' process of over four weeks	None
	ACORN recognises that this latest proposal is a step in the right direction (noting it is guidance), however it does not go far enough in addressing the needs of building more affordable housing in the city of Bristol.	Noted. As a guidance document the AHPN is unable to change policy to the Local Plan. The Local Plan will allow the Council to introduce major policy changes	None
	ACORN consider the proposal needs to be more radical, so that we can show the rest of the country that Bristol is leading the way in setting an agenda where affordable housing is a top priority in reality and not just in rhetoric.	Noted. As a guidance document the AHPN is unable to change policy to the Local Plan. The Local Plan will allow the Council to introduce major policy changes	None
	ACORN is keen to see more good quality affordable housing being built at an accelerated pace and we are confident that developers can manage this whilst also meeting required thresholds.	Noted.	None
	ACORN consider a review of the local plan should begin at the earliest opportunity to ensure this is fully embedded into policy.	Noted	None
<b>General comments</b>	HBF and Housebuilders welcome the city's forward thinking document however consider it should be clearer throughout that it is only an interim measure. Housebuilders require certainty about how long the interim measure will be in place.	Noted - however the AHPN will only be operational before the adoption of the Local Plan	Clarification to text to reinforce that it is only an interim measure and explain only operational until the Local Plan is adopted.

<b>General comments</b>	HCA wish to support AHPN as see it as tool to maximise opportunities for HCA to contribute to increasing affordable housing delivery in Bristol.	Noted	None
<b>General comments</b>	Sovereign consider it to be a well thought out document	Noted	None
<b>General comments</b>	Yarlington welcome changes and the clarity it brings to new application validation but consider the Council will need to be more robust when implementing the new arrangements	Noted	None.
<b>General comments</b>	BCLT would wish to see opportunity for serviced plots being offered to CLTs and Community led housing organisations	Noted - However if this change was to be progressed it will need to be through new Local plan	None
<b>AHPN 3.2 Subsidy free</b>	HCA strongly support the Council's approach to keeping s106 subsidy free AH units separate to additional AH secured with public subsidy. HCA confirm that they fund any additional units unless this can be demonstrated	Endorses BCC approach on need for s106 agreement to be quite separate from additional AH	None
<b>AHPN 3.2 Benefits for Threshold Route</b>	HBF and Housebuilders supportive of the Council employing extra staff to fast track Policy and Threshold compliant applications and requested information on AH levels on BCC land. It should be noted that Retirement housebuilders expressed concern about a two track approach and sought exemption from process.	Noted and confirmed that in future all BCC land will need to provide full planning policy compliant levels of AH - However AHPN does not change policy as only interim guidance document and therefore unable to consider request for exemptions	None.
<b>AHPN 3.4 Threshold Reduction to 20%</b>	Yarlington have questioned whether any developer will offer above 20% affordable housing in Bristol Central Areas through Route One. Acorn although they do not favour the Threshold reduction to 20% do recognise that this level would be a considerable improvement	BCC recognise the issue. However BCC consider that as the AHPN Threshold arrangements are not policy and is only a time limited measure designed to increase AH supply - ahead of new Local Plan being adopted. No change proposed	None

<p><b>AHPN 3.4 Threshold Reduction to 20%</b></p>	<p>ACORN consider that the proposed thresholds of 10% (where requirement is 30% affordable housing) and 20% (where requirement is 40%) are too low, particularly if they are then allowed to skip viability testing altogether.</p>	<p>The Consultation draft only included a 20% threshold in 40% areas in the two central areas of the city which had underperformed in AH supply in recent years. There is no intention to include a 10% threshold in 30% areas. The relaxation on developers viability assessment offering 20% AH is hoped will work as an</p>	<p>None</p>
<p><b>AHPN 3.4 HCA funds for additional affordable homesHCA wish</b></p>	<p>HCA support providing funds for additional affordable home ownership homes on proviso that all these homes are available for all UK residents and are not restricted by normal s106 requirements</p>	<p>BCC will need to redraft 3.4 to make it clear that HCA is only able to fund additional affordable rent and affordable home ownership (without restrictions on residential qualification/length of tenure)</p>	<p>3.4 Text changed to read: <b><i>"Where the applicant has offered either the fully compliant policy level or the threshold level of 20% affordable housing within relevant zones under policy BCS17 and this has been agreed by the council and secured through a Section 106 agreement the applicant's selected registered provider will be eligible to seek funds for additional affordable rent homes from either Bristol City Council and the Homes and Communities Agency (subject to HCA restrictions. Further the provider will be eligible to seek funds for additional affordable home ownership (subject to residential qualifications) Such additional affordable homes will be secured through a separate funding agreement.</i></b></p>



<b>AHPN 3.5 Flexibility on tenure mix</b>	ACORN remain firmly opposed to a reduction in the required 77% built for “social rent” as there is a significant risk that others built badged as “affordable”, may not actually be so. BRISTOL HOMES BOARD sought revisions to initial consultation draft so that proposal for 50% AR and 50% Shared ownership be changed back to 77%/23% Yarlington wish to secure greater flexibility provided tenure split from 77%/23% to 50%/50%	BCC consider that by introducing this flexibility on the tenure as suggested by Yarlington at the same times as the 20% Threshold is introduced will lead to an overall reduction in social rented homes. The Consultation draft (issued in December) was changed to meet this Bristol Homes Board requested change	No change from the Consultation draft issued in December. This version already had been changed back to 77% social rent and 23% shared ownership homes
<b>AHPN 3.6 Service charges</b>	Sovereign consider that the curent Service charge limits for are too low	No change as BCC has recently reviewed and increased from £550 - £650 per annum per flat and up to £250 per annum per house.	None
<b>AHPN 3.5 Flexibility on rent levels</b>	HCA support the Councils approach to all rents being below LHA and prepared to be flexible on % of open market rent. Sovereign has expressed concern that if affordable rent is restricted to Local Housing allowance limits it would not allow them to increase rents by CPI plus 1% annually; as this would breach LHA limits	AHPN is unable to change the Councils AH Planning policy however this issue will need to be considered in new Local Plan	None
<b>AHPN 4.4 Review timescale</b>	ACORN consider any developer bringing forward proposals with less than the required 30 or 40% affordable housing must publish a viability assessment that is subject to public scrutiny and review. This should take place at two further stages – when building on site begins and once a percentage of the properties are built.	BCC has already introduced a new requirement from 1st December that all developers not meeting the AH policy requirements will need to provide a viability assessment. The AHPN would provide a time limited relaxation to developers offering 20%	None

<p><b>AHPN 4.4 Review timescale</b></p>	<p>HBF and Housebuilders prepared to shorten 18 months period stated before viability assessment review in draft document to 15 months - from the date of an implementable consent ( ie detailed with all planning conditions resolved or an outline where reserved matters approved). In addition HBF have suggested a Gateway process at 9 months where both parties to identify unresolved issues and to prepare an action to resolve them including restarting the clock.</p>	<p>BCC agree changing to 15 months and the principle of a gateway process. We recognise in respect of detailed that key planning conditions need to be resolved before a developer has effectively an implementable consent.</p>	<p>4.4 Change text to read: "<b>Route 2 and 3 applications will be subject to viability testing if a Community Infrastructure Levy (CIL) Commencement Notice has not been submitted to the council with 15 months of the date of planning permission being implementable either on detailed planning applications all planning conditions have been discharged or on outline planning application reserved matters approval has been secured</b>". Further all references to 18 months in table this section to be changed to 15 months</p>
<p><b>AHPN 4.6 Enabling fees</b></p>	<p>Sovereign have requested sight of BCC report advising RPs of amount of enabling fees collected and how fees are used.</p>	<p>BCC will provide an annual report at Homes West Bristol meeting in May each year This will be included in revised text</p>	<p>4.6 Change to text to read: <b>A fee of £550 per affordable home will apply from 1 October 2017 and is index linked. The fee is paid to the council on completion of each of the affordable homes and applies to Social Rent, Affordable Rent, Intermediate Rent and other intermediate affordable housing tenures procured through s106 negotiations and delivered without public subsidy or through reprovision/remodelling, extra care housing and 100% affordable housing schemes. The Council will prepare an annual report about the amounts collected and how we have spent in previous year and presented to Homes West Bristol each</b></p>

			<i>May</i>
<b>AHPN App 3 Summary of AH Requirements</b>	HCA have commented that HCA Design and Quality standards is no longer an HCA requirement. Sovereign seek consistency on application of design and space standards from all developers - concern that developers n longer developing 2 bed 4 person or 3bed 6 person accommodation	BCC will need to redraft Affordable Housing Requirements to make it clear which design and space standards still apply	Affordable Housing Requirements to be redrafted to accommodate this change

AHPN 2018 Risk Register

Negative Risks

Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk	Risk Tolerance			Actions to be undertaken	Escalation			Portfolio Flag		
								Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating		Date	Escalated to:	Escalated by:		Date	
								£k							Escalated to: DRR/CRR						
Reputational risk to Council agreeing to a lower % of AH	Councillors and members might think that introducing a 20% threshold as opposed to the BCS 17 policy target of 40% affordable housing in the central areas of the city's overall affordable housing needs in the central area have reduced .	Adverse press and media stories		Medium	Tim Southall	Widely publicised on website and for a. Key buy-in from Councillors and senior staff so that they can advocate rationale for introduction of threshold to stakeholders and general public		2	3	6	N/a	1	1	1	Jan-18	Publication on website April 2018. Training session for members and stakeholders by Sept 2018,	BW				
WOE JSP and AH SPG and Bristol Local Plan 35% AH requirement may be difficult to introduce to developers if 20% AH in Bristol central areas becomes the accepted norm.	20% AH in central areas without viability assessments may be considered far more attractive than 35% AH with need for viability assessments.	Implementation of Bristol Local Plan is delayed due to challenges on 35% AH		High	Tim Southall & West of England Enabling Managers	Robust analysis of evidence, housing needs assessment and land values; and strong political support for this temporary time limited measure to increase affordable homes in the central area		3	5	15	N/a	2	5	10	Jan-18	Revisions/update to Wider Bristol SHMA - September 2018. JSP policies needed to be supported by Viability testing of land values for sites/ housing in central areas in Bristol and given as evidence at Examination in Public	ML				
Introduction of AHPN may not lead to increase in AH supply	Land Values, and Build Costs and other extenuating cost will still be in existence as most of the sites are brownfield.	Current status quo will still remain.		High	Tim Southall	Local list requiring full and public disclosure of viability assessments. Maintaining dialogue with developers to ensure that they see benefits of 20% AH threshold being used.		3	5	15		2	3	6	Jan-18	HDT implement new fast track approach and Council employ new planning and highways staff	JF				

Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk	Risk Tolerance			Actions to be undertaken	Escalation			Portf olio Flag		
								Likelihood	Impact	Ris k Rat ing		Likelihood	Impact	Ris k Rat ing		Date	Escalated to:	Escalated by:		Date	
								£k							Escalated to: DRR/CRR						
Reputation of the Council	Media and housebuilders recognise Council as being exemplar and pioneering authority doing all it can to increase AH supply	Good press and media coverage	Open	Low	Tim Southall	Agree PR and media strategy to show that new measure is only a time limited initiative to increase the very low levels of affordable housing currently and give opportunity to secure a significantly higher level of provision.		3	2	6		1	1	1	Jan-18	Prepare 12 month media and PR strategy ahead of publication - April 2018	TB				
Opportunity risk	Nothing ventured nothing gained - opportunity to increase from current low levels to at least 20% AH	Better opportunity to increase AH than maintaining status quo	Open	Low	Tim Southall	Await the New Local Plan		3	2	6		1	1	1	Jan-18	Maintain good working relationships with housebuilders - April 2018	BW				



## APPENDIX E

### Bristol City Council Equality Impact Assessment Form

Name of proposal	AHPN 2018
Directorate and Service Area	Regeneration and Growth/ Housing Delivery
Name of Lead Officer	Tim Southall

#### Step 1: What is the proposal?

Please explain your proposal in Plain English, avoiding acronyms and jargon. This section should explain how the proposal will impact service users, staff and/or the wider community.

1.1 What is the proposal? The Affordable Housing Practice Note 2018 (AHPN) will provide updated guidance to developers when submitting residential planning applications and provide incentives to encourage them to increase the numbers of affordable homes (to current levels being achieved) provided through s106 planning agreements. The AHPN 2018 is an interim measure and does not constitute either a change of policy, a change in budget spend or a change in service. It relates to the EQIA prepared for the Bristol Development Framework

<https://www.bristol.gov.uk/documents/20182/33167/Main%20reportwith%20heading%20s.pdf/dc89de70-0b42-4b02-bf28-62e6f4db162b>

If the overall supply of affordable homes can be increased from current levels of low levels it will help improve the economic and social wellbeing of the city which will improve the life chances of all protected characteristic groups who will have equal access to the new affordable homes.

#### Step 2: What information do we have?

Decisions must be evidence-based, and involve people with protected characteristics that could be affected. Please use this section to demonstrate understanding of who could be affected by the proposal.

2.1 What data or evidence is there which tells us who is, or could be affected? 500 affordable homes, about 30% of the new homes built in the city between 2016/17-2020/21, will be built in Inner East and Inner West (Central Wards) of Bristol (The Central Wards includes the Inner East wards of Easton, Lawrence Hill and Ashley some of the most deprived wards in the city). The Affordable Housing Funding Policy which is seeking to increase the affordable housing supply is expected to have a positive impact on the housing opportunities of the following equalities groups:

- (i) Age: Households with young children will be offered a larger number of housing opportunities however these may not fully meet their needs as over 75% of the homes provided in the Central Wards will be for flats rather than houses. However it is not expected during this period any Extra Care Homes

schemes will be provided through s106 agreements.

- (ii) Race: Any increase in supply to people already lining in the Central Wards will support the high housing needs in these wards arising from black and minority ethnic groups (BME). 16% of Bristol's households are from (BME) groups a much larger proportion of BME population (31%) within the Inner East wards. 53% of children under 16 in the Inner East are BME, compared with 21% in North & West and 13% in South. Lawrence Hill ward has the highest proportion of people not born in the UK, at 39%.

BCC Corporate Plan 2018-23 and Bristol Housing Strategy 2016-18

<https://www.bristol.gov.uk/documents/20182/361915/Bristol+Housing+Strategy+2016/8612fc26-53db-4061-b5e7-182083e3dbc6>

2.2 Who is missing? Are there any gaps in the data?

The most up to date homelessness returns December 2017 show in addition to those registered on Homes Choice Bristol there are 650 households in temporary accommodation with 125 rough sleepers at latest count. However their combined housing and care needs will be addressed citywide rather than specifically in the Central Wards. The Council will be shortly employing an Affordable Housing Policy Officer who will be tasked to work with Housing Solutions and the Specialist Advisor Homelessness to improve the analysis of affordable housing and homelessness data so that the Council can ensure that the new affordable housing supply best meets the needs of homeless people; the majority of whom have protected characteristics.

2.3 How have we involved, or will we involve, communities and groups that could be affected?

There is no specific requirement for the Council to consult on a document such as the AHPN 2018. However following the Tetlow King's report with its stakeholder research to the Bristol Homes Board in November 2017 it was agreed to conduct a wider engagement process during December and January. This new engagement process included a wider range of stakeholder groups such as Acorn, a tenants union and anti-poverty organising group and a member of Bristol Homes Board.

### **Step 3: Who might the proposal impact?**

Analysis of impacts on people with protected characteristics must be rigorous. Please demonstrate your analysis of any impacts in this section, referring to all of the equalities groups as defined in the Equality Act 2010.

3.1 Does the proposal have any potentially adverse impacts on people with protected characteristics?

No – it may positively improve the housing opportunities for all equalities groups as defined in the Equality Act 2010 in the areas of focus of the AHPN 2018.

It is expected that the Council by adopting this interim 'threshold approach will result in the overall numbers of affordable housing in the Central wards being increased from the current low levels.

It is not expected that the AHPN 2018 threshold will have any impact of the type developer progressing schemes in the Central Wards. Due to the high values of

land in the Central Wards the smaller SME builder/developer or Registered Provider already find it difficult to bring forward schemes in these areas; the introduction of the AHPN 2018 will not change that position.

The positive benefits will be that with a greater throughput of schemes there will be more opportunities for Council officers to negotiate with developers that ground floor flats be made available as social rented flats for wheelchair users or one bedroom flats be made available to RPs prepared to make them available to people with learning difficulties or mental health needs.

It is recognised that s106 opportunities to provide specialist extra care rented housing for older people are very rare (The Cold Harbour Lane s106 secured Council access to 40 extra care flats) and none have been progressed through s106s to date in the Central Wards as the housing investment required from the developer makes it unviable.

3.2 Can these impacts be mitigated or justified? If so, how?

The Council is introducing the AHPN 2018 as a time limited measure to try and increase the amounts of affordable housing secured through the planning system above the levels currently being secured. If it is not successful it will be dropped.

The Council will shortly commence engage on the new Bristol Local plan with affordable housing policies (drawn from new policies in the West of England Joint Strategic Plan) that will strengthen the Council's negotiation position in securing affordable homes

To fully mitigate this affordable housing shortfall in the long term would require a change in Government legislation in favour of developers providing Council's full affordable housing requirements through s106 agreements.

3.3 Does the proposal create any benefits for people with protected characteristics?


Yes – this measure may increase the supply of suitable and affordable homes which would help counter social inequalities faced by groups with protected characteristics and generally will improve all citizens ability to access social, educational, health and economic opportunities in the Central wards

3.4 Can they be maximised? If so, how?

By working effectively with developers the Council can address design issues at an early stage and negotiate that all ground floor accommodation are made available for wheelchair users.

#### **Step 4: So what?**

The Equality Impact Assessment must be able to influence the proposal and decision. This section asks how your understanding of impacts on people with protected characteristics has influenced your proposal, and how the findings of your Equality Impact Assessment can be measured going forward.

<p>4.1 How has the equality impact assessment informed or changed the proposal?  The Council during the engagement process has reviewed its focus areas and has agreed to target this measure on the Central Wards of the city where there is currently the greatest under provision of affordable homes secured through the planning system</p>	
<p>4.2 What actions have been identified going forward?  The Council has designed a threshold approach to try and encourage developers to increase from the current levels of 6%-10% affordable housing in the focus areas to supply at least 20% affordable housing supply in these areas of the city.</p>	
<p>4.3 How will the impact of your proposal and actions be measured moving forward?  Council will continue to monitor AH provision through receipt of quarterly returns from all registered providers delivering affordable homes in the city and the impact of the AHPN 2018 will be measurable.</p>	
<p>Service Director Sign-Off:</p>	<p>Equalities Officer Sign Off:    Duncan Fleming</p>
<p>Date:</p>	<p>Date:  19 February 2018</p>



## Eco Impact Checklist

<b>Title of report: AHPN 2018</b>				
<b>Report author: Tim Southall</b>				
<b>Anticipated date of key decision 6<sup>th</sup> March 2018</b>				
<b>Summary of proposals:</b> To seek Cabinet approval to a revised Affordable Housing Practice Note (AHPN) that will provide updated guidance to developers when submitting eligible residential planning applications and incentivise developers to increase affordable housing supply in advance of a new Bristol Local Plan.				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?		+ive	Increased affordable housing will be likely to reduce the number of tenants in private rented housing, moving more people into more energy efficient housing.	
		-ive	AHPN may lead to an increase in housebuilding – Any BCC developments will be subject to separate approvals process and a separate Eco Ia, so environmental considerations can be made at this stage.	A separate Eco IA process for large planned developments. Bristol Local Plan sustainability policies and modification of Local Plan policies.
Bristol's resilience to the effects of climate change?	N/A			
Consumption of non-renewable resources?	Yes	+ive -ive	See above	See above
Production, recycling or disposal of waste	Yes	-ive	See above	
The appearance of the city?	Yes		See above	
Pollution to land, water, or air?	Yes	+ive -ive	See above	
Wildlife and habitats?	Yes		See above	
<b>Consulted with: Homes England, HBF, NHF, Homes West, Acorn, Bristol Homes Board</b>				

**Summary of impacts and Mitigation - to go into the main Cabinet/ Council Report**

It is anticipated that this proposal will increase the supply of affordable homes within new developments, rather than the total supply of all new homes. It is therefore likely to have a small positive impact as the homes constructed to current planning and building regulations will generally be more energy efficient.

**Checklist completed by:**

Name:	
Dept.:	
Extension:	
Date:	29/01/2018
Verified by Environmental Performance Team	Nicola Hares

**MEETING: Cabinet**

**DATE: 06/03/2018**

<b>Title: Lockleaze Estate Regeneration &amp; Housing Delivery</b>	
<b>Ward(s):</b>	<b>Lockleaze</b>
<b>Author:</b>	<b>Paul Owens</b>
<b>Job title:</b>	<b>Senior Project Manager – Special Projects</b>
<b>Cabinet lead:</b>	<b>Cllr Paul Smith</b>
<b>Director lead:</b>	<b>Colin Molton - Interim Executive Director Growth and Regeneration</b>
<b>Proposal origin: Councillor</b>	
<b>Decision maker: Mayor</b>	
<b>Decision forum: Cabinet</b>	
<b>Purpose of Report:</b> To agree approach to and funding for 'Lockleaze Estate Regeneration & Housing Delivery', to enable the delivery of some 800 new homes.	
<b>Evidence Base:</b> The West of England Joint Spatial Plan and other sources identify the need for additional housing in Bristol. Lockleaze, within the city's 'Northern Arc', is a priority regeneration area for the Council. Lockleaze has historically suffered from poor connectivity, worse than average deprivation, and a lack of diversity of housing stock. This report seeks agreement to a way forward to deliver some 800 new homes and to support regeneration locally	
<b>Cabinet Member Recommendations:</b>	
<ol style="list-style-type: none"> <li>1. To note the Lockleaze Sites Appraisal and Delivery Strategy study and the recommended delivery approach set out in Appendix A.</li> <li>2. To authorise spend of £1.081m Estate Regeneration Grant received from DCLG to help deliver new housing and regeneration in the Lockleaze Estate.</li> <li>3. To authorise spend of an initial £0.505m Early Investment Programme 'Unlocking Lockleaze Development' grant tranche towards transport infrastructure from WECA.</li> <li>4. To authorise spend of £6.686m 'Unlocking Lockleaze Development' Housing Investment Fund grant award from Homes England</li> <li>5. To authorise officers in consultation with the Service Director, Finance to submit grant funding applications to secure external funding as appropriate, including: Local Growth Fund, Early Investment Programme, and Accelerated Construction Programme, and to invest any such grants awarded to deliver the sustainable transport improvements and other infrastructure required to enable housing delivery in Lockleaze.</li> <li>6. To agree, subject to further Cabinet approval of the detailed business case and any joint venture agreements, to dispose of the Romney House/Lockleaze School site, Lockleaze Day Centre/Blake Centre Site and Branwhite Close sites ('<b>Package A</b>') to the Council's proposed Local Housing Company for residential led development.</li> <li>7. To agree the sale of the following sites to a Homes West partner: Constable Road/Crome Road sites, and Herkomer Close ('<b>Package B</b>'). for residential led development.</li> <li>8. A number of smaller sites (within '<b>Package C</b>') are expected be developed by Bristol City Council (through the Housing Revenue Account) to provide additional affordable housing. Remaining sites identified within Package C with potential for self-built or community land trust will be disposed of.</li> <li>9. Cabinet in April 2012 agreed to land sales and acquisitions in Lockleaze to support regeneration in the vicinity of Gainsborough Square, Lockleaze. Cabinet are asked to reaffirm this approach.</li> </ol>	

<b>Revenue Cost: £ 0</b>	<b>Source of Revenue Funding:</b>
<b>Capital Cost: £178m</b>	<b>Source of Capital Funding:</b> £178m overall GDV. –predominantly funded by private sector. £1.081m to be met from DCLG Estate Regeneration Grant, £6.686m to be met from Housing Infrastructure Fund award, £0.505m to be met from WECA Early Investment Programme grant. £841,967.82 to be met from existing s.106 allocations for Lockleaze and committed to this project. Additional external grant funding will continue to be sought.
<b>One off cost</b> <input type="checkbox"/> <b>Ongoing cost</b> <input type="checkbox"/>	<b>Saving Proposal</b> <input type="checkbox"/> <b>Income generation proposal</b> <input checked="" type="checkbox"/>

**Finance Advice:** Bristol City Council has ambitious targets to deliver 2000 new homes of which 800 are affordable per year by 2020. To deliver the new homes the City Council's approved capital programme over the next five years includes investment of £175m to support the setup a private housing delivery company. The investment of £175m assumes a mix of funding, comprising prudential borrowing of £71m and capital receipts of £104m. Any proceeds from the disposal of these sites after allowing for funding required to resolve transport infrastructure issues would contribute the capital receipts target. As a result any agreed recommendation needs to consider the relative economic benefits of maximising the capital receipt against as a minimum of complying with council planning policy on achieving 30% affordable homes.

**Finance Business Partner:** Neil Sinclair, Interim Finance Business Partner

**Corporate Strategy alignment:** The Corporate Strategy 2017-22 includes the following commitment: "We will build 2,000 new homes – 800 affordable – a year by 2020"

**Legal Advice:** The scope of the public procurement regime may extend to development agreements particularly where a local authority wishes to have a decisive influence over the development, seeks to impose enforceable obligations on the developer and/or there is some form of pecuniary interest. A local authority has a duty to obtain best consideration for disposal of the sites and in addition ensure that any transfer does not amount to unlawful State Aid. With regard to Joint Venture (JV), once due diligence has been completed, clear objectives for the JV established and a possible partner identified, the Council should establish an appropriate legal format for the JV and negotiate an agreement that reflects the goals of the partners. Having regard to the foregoing, the proposals in this report are lawful and Legal Services will advise and assist officers as the project progresses.

**Legal Team Leader:** Sinead Willis, Legal Services Team Leader 23.02.2018

**Implications on ICT:** There appears to be few, if any, direct IT implications of this project beyond possible fit-out of a project team should one exist. Early engagement with IT and scoping of any IT requirements, should they be necessary, would help facilitate this project delivery

**ICT Team Leader:** Ian Gale, Service Manager, Service Delivery and Integration

**City Benefits:** The proposal will increase the supply of affordable housing and this will affect the demand which will be of benefit to the whole city. The lack of affordable housing causes homelessness and the people who are owed a homelessness duty by the council are disproportionately young people, disabled people, BME people and lone parents who are mainly women. Lack of accessible housing mainly affects older people and disabled people. These dwellings will meet the minimum standards set out in the part M of the Buildings Regulations, Access to and Use of Buildings. Improved public transport, cycling and walking infrastructure anticipated.

**Consultation Details:** Proposals draw from 'Lockleaze Vision' (2009) and the Lockleaze Voice Draft Neighbourhood Development Plan (2014-2026), developed following local community engagement.

<b>DLT Sign-off</b>	Housing Delivery Board	15/8/2017
<b>SLT Sign-off</b>	John Redman	10/10/2017
<b>Cabinet Member sign-off</b>	Cllr Paul Smith	30/1/2018
<b>For Key Decisions - Mayor's Office sign-off</b>	Mayor	2/2/2018

Appendix A – Further essential background / detail on the proposal	<b>YES</b>
Appendix B – Details of consultation carried out - internal and external	<b>NO</b>
Appendix C – Summary of any engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment	<b>NO</b>
Appendix E – Equalities screening / impact assessment of proposal -	<b>YES</b>
Appendix F – Eco-impact screening/ impact assessment of proposal -	<b>YES</b>

Appendix G – Financial Advice	
Appendix H – Legal Advice	<b>NO</b>
Appendix I – Combined Background papers	Lockleaze & Key development sites within Lockleaze Estate
Appendix J – Exempt Information	<b>NO</b>

## Lockleaze Estate Regeneration & Housing Delivery

### 1. Background:

The Lockleaze Estate, sandwiched between the Bristol-South Wales railway and the M32, was developed from the late 1940's, predominantly as municipal housing. Lockleaze is a typical low-density estate of post-war period. The layout, housing design and construction methods used were a product of "garden suburb" and "modernist" thinking of that time.

Lockleaze, within the city's 'Northern Arc', is a priority regeneration area for the Council. Lockleaze has historically suffered from poor connectivity, worse than average deprivation, and a lack of diversity of housing stock.

Local residents support regeneration and change in the area and have articulated local regeneration objectives, including through the 'Lockleaze Vision' (2009) and the Lockleaze Voice Draft Neighbourhood Development Plan (2014-2026).

Bristol City Council owns a significant quantity of land (development plots held in both the Housing Revenue Account and General Account) within the area suitable for new housing development to support local regeneration.

### 2. Delivering Estate Regeneration in Lockleaze:

To support the regeneration of the Lockleaze Estate, deliver new homes, and to help achieve resident's objectives in 2016 Bristol City Council in 2016 commissioned Emmett Russell Architects and Bilfinger GVA to work alongside multi-disciplinary Council teams to undertake a 'Lockleaze Sites Appraisal and Delivery Strategy' study. This work has focused very much on housing delivery, regeneration, and successful placemaking in accordance with identified local priorities.

This work has resulted in a local housing market assessment, site capacity studies, a Design and Planning Brief for the Romney House/former Lockleaze School site, financial modelling and soft market testing.

Modelling indicates that Bristol City Council owned sites in the Lockleaze Estate can accommodate around 800 new homes including at least 239 affordable homes in full compliance with Planning Policy.

### 3. Delivery Approach:

In order to achieve the Council's core objectives (maximising the delivery of housing numbers; capitalising on pace of delivery; securing affordable housing provision; and ensuring quality of development) GVA Grimley have recommended the development of Council owned sites through bundled packages of sites.

The key packages and indicative delivery approaches are:

<b>Package/sites:</b> (site numbers relate to Appendix I plan)	<b>Indicative number of homes</b>	<b>Preferred delivery mechanism</b>	<b>Timescale</b>
Package A: <ul style="list-style-type: none"> <li>• Romney House/Lockleaze School (site 1)</li> <li>• Lockleaze Day Centre &amp; Blake (site 2)</li> </ul>	354 units	Joint Venture Partnership (JVP) – procured independently or through BCC Housing Company (subject to commercial	JVP to be structured 2018/19

<ul style="list-style-type: none"> <li>• Branwhite Close (site 8)</li> </ul>		viability)	
<b>Package B:</b> <ul style="list-style-type: none"> <li>• Crome Road 6-20 even (site 17)</li> <li>• Crome Road 30-48 even (site 18)</li> <li>• Constable Road 17-43 odd (site 19)</li> <li>• Herkomer Close (site 16)</li> </ul>	130 units	Site sale. Initial offer to be restricted to Homes West partners	Imminent
<b>Package C1:</b> <ul style="list-style-type: none"> <li>• Constable Rd (sites 20 &amp; 21)</li> <li>• Constable Road (site 9)</li> <li>• Morris Rd (site 11)</li> <li>• Turner Gardens (site 15)</li> <li>• Romney Ave (site 13)</li> <li>• Brangwyn Grove (site 22)</li> <li>• Constable Rd (plot East of Copley Gdns – not marked on map)</li> </ul>	36 units	Bristol City Council (HRA) direct delivery  or	Programmed over 5 years
<b>Package C2:</b> <ul style="list-style-type: none"> <li>• Blake Road (site 6)</li> <li>• Mulready Close (site 12)</li> <li>• Rowlandson Gardens (site 14)</li> <li>• Rackham Close (not marked on map)</li> <li>• Gilray Close (not marked on map)</li> <li>• Garage site (site 31)</li> <li>• Edward Bird House - adjacent to (site 24)</li> <li>• Downman Road (site 10)</li> </ul>	22 units	Site sales targeted for: self-build housing / Community Led Housing.  Will seek to link with West of England One Public Estate Sites Programme.	t.b.c.
<b>Package D1:</b> <ul style="list-style-type: none"> <li>• Bonnington Walk (site 7)</li> </ul>	262 units	Joint Venture Partnership/ site sales/direct delivery (to be determined in light of emerging market conditions)	Site preparation to commence from 2018/19
<b>Package D2:</b> <ul style="list-style-type: none"> <li>• Cameron/Police (site 3)</li> </ul>		Joint Venture Partnership/ site sales/direct delivery/Community Land Trust (to be determined)	Determination of delivery approach 2018/19

Gross development values (GDV) are expected to exceed £170m. Site values to be accrued by the Council are expected to be positive. Contemporary market conditions will affect returns to be made by the Council.

#### 4. Housing Revenue Account:

A number of the sites within Packages A, B, C and D are held within the Council's Housing Revenue Account (HRA). Development land held within the HRA is limited and the preferred approach of the HRA's business plan is that any HRA land identified to be sold or moved out of the HRA should first be part of a land swap, so the HRA receives alternative sites that can be developed for new Council Housing in appropriate locations.

The alternative options for release of HRA land are to sell the site for a capital receipt or to take affordable units when the site is developed in lieu of a capital receipt. However, these options are not favoured because:

- The HRA prefers land rather than receipts
- The GF benefits more from receipts
- If the HRA takes the affordable (s106) units from a development there is no 'additionality' – i.e. the HRA is simply acting as A.N.other RP (Registered social housing Provider). An RP would have taken the s106 units and the HRA would have had the land or money to build further affordable units. In Lockleaze such an arrangement may yield an additional 58 Council homes without grant subsidy.

Therefore the recommendation for release of HRA land, in priority order, is:

- 1) Appropriate land from the General Fund on an equivalent value/land/size basis
- 2) Full market value capital receipt for the land
- 3) To take new homes in lieu of capital receipt

#### **5. Transport:**

Due to constrained vehicular access to the Lockleaze estate, transport modelling suggests that without additional sustainable transport infrastructure this potential level of development is unlikely to comply with Planning Policy requirements and unlikely to receive necessary Planning Consents. Potential additional congestion and air quality deterioration can however be mitigated against at an estimated cost of £4.3-5.5m. External grant funding will be sought to meet necessary infrastructure costs to unlock development. This investment can be met from anticipated capital receipts from site/house sales from new development on Council owned sites in the Lockleaze Estate, should alternative funding not become available. This will achieve the Travel Plan mode shares and realise the sustainable development that local and national policy requires all new development to deliver, in the interests of minimising car reliance in favour of forms of movement that impact positively on the health of the local community, including walking, cycling and public transport. Such investment would reduce the reliance on the private car (and subsequently car parking) which could help deliver higher density development and therefore maximise the number of dwellings that are achievable on any given site. Existing residents of Lockleaze and the wider area can be expected to benefit from transport infrastructure improvements. Appropriate local transport infrastructure investment will be subject to local consultation.

#### **6. Placemaking:**

Whilst Lockleaze has many positive aspects, it does not enjoy a high profile as an area in which to invest or as a destination. This is in part due to the physical isolation and poor connectivity of the Lockleaze estate and the need for some environmental enhancements.

Council Investment in recent years to public realm at Lockleaze's main commercial centre at Gainsborough Square has led to some improvements. Unfortunately the area still suffers some dereliction and a lack of amenities. Cabinet are asked to reaffirm a previous Bristol City Council Cabinet decision of 26<sup>th</sup> April 2012 to support the regeneration of Gainsborough Square, including through: the acquisition of land (including



via the Council's compulsory purchase powers as a last resort); enter into contracts to dispose of Council land via either conditional freehold or conditional leasehold sales; and to enter into contract(s) with development partner(s) to assist the regeneration of Gainsborough Square. Additional investment in Gainsborough Square and the local area through such mechanisms is expected to improve investor confidence and assist in successful housing delivery and estate regeneration.

Bristol's library service operates a public library from temporary accommodation at the Cameron Centre, a site identified as a redevelopment opportunity. Whilst relocation of this facility into a cost-effective shared use facility on Gainsborough Square would support the vitality and sustainability of Gainsborough Square and support employment and economic opportunities, this may not be viable. It may be appropriate to provide an alternative community/commercial facility to enhance the vibrancy of Gainsborough Square.

#### **7. Jobs and Economic Opportunities:**

The Lockleaze estate falls within the 15% most deprived areas nationally<sup>1</sup> with the proportion of residents on Out of Work Benefits being 37% higher than average (August 2016<sup>2</sup>). New homes, improved transport, and placemaking will not address these problems alone.

A Lockleaze Community Economic Development Plan in gestation has identified 'Employment Opportunities' along with "more local jobs and more independent businesses within the area" as a key themes. Employment support, restaurants, and a new Lockleaze train station all fall within the top five priorities of consultation respondents<sup>3</sup>. 63% of consultation respondents to date have asked for workshop units to be included in developments for the area.

Subject to the availability of appropriate resources, Bristol City Council should in principle support such investment.

#### **8. Delivery Capacity:**

The delivery of significant numbers of new homes and regeneration in Lockleaze will require Bristol City Council to have appropriate resources in place to facilitate this development.

- a. **Estate Regeneration Grant:** With the support Cllr Paul Smith (BCC Cabinet Member for Homes), the Director of Finance, and local Ward Councillors, an Estate Regeneration 'enabling and capacity building' grant funding bid was made to DCLG, to provide capacity to support Estate Regeneration and deliver new homes in the 'Lockleaze Estate'. A grant award of £1.081m has now been received in response to this bid for the achievement of agreed deliverables. Due to the size of this grant Cabinet is asked to approve the acceptance of this grant for the delivery of Lockleaze Estate Regeneration.
- b. **West of England [Metro Mayor] Early Investment Fund:** Infrastructure investment to support improved development standards for housing delivery in Lockleaze is being sought as apart of West of England investment packages. An initial £505k funding tranche has already been received.
- c. **Housing Delivery Vehicle [Local Housing Company]:** Bristol City Council has commissioned consultants, Lambert Smith Hampton, to help prepare a detailed business case for a new Bristol housing delivery vehicle to support accelerated housing delivery. This vehicle may be used to deliver housing on some of the available sites.
- d. **Additional Affordable Housing Delivery in Lockleaze Ward.** A s.106 allocation of £841,967.82 for "The provision of affordable housing in Lockleaze Ward" remains

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<sup>1</sup> Index of Multiple Deprivation, Source: DCLG English Indices of Deprivation 2015.

<sup>2</sup> Office for National Statistics, Benefit claimants - working age client group, Nomis 16/3/2017

<sup>3</sup> At the time of writing, over 440 Lockleaze Community Survey consultation responses had been received but the consultation had not closed.

unallocated. This funding can be committed to support the delivery of affordable housing in Lockleaze.

- e. **Housing Delivery Team:** The Council's newly established Housing Delivery Service will lead on Lockleaze Estate Regeneration & Housing Delivery.
- f. **Accelerated Construction Programme:** Funding is currently being sought from Homes England to support housing delivery in Lockleaze.
- g. **Housing Infrastructure Fund:** The Government has announced a new Housing Infrastructure Fund which can grant aid appropriate infrastructure investment to unlock housing delivery. A £6.7m 'Unlocking Lockleaze Development' grant application has been submitted and the outcome of this bid is currently awaited.

Lockleaze Location



Lockleaze Ward



Lockleaze Estate



## Bristol City Council Equality Impact Assessment Form

(Please refer to the Equality Impact Assessment guidance when completing this form)



Name of proposal	<b>Lockleaze Estate Regeneration &amp; Housing Delivery</b>
Directorate and Service Area	Growth & Regeneration/Housing Delivery Team
Name of Lead Officer	Paul Owens

### Step 1: What is the proposal?

Please explain your proposal in Plain English, avoiding acronyms and jargon. This section should explain how the proposal will impact service users, staff and/or the wider community.

#### 1.1 What is the proposal?

Cabinet Report seeking to establishing approach to and funding for 'Lockleaze Estate Regeneration & Housing Delivery' to enable the delivery of some 800 new homes on some 16ha of land. Aso, associated sustainable transport infrastructure investment.

### Step 2: What information do we have?

Decisions must be evidence-based, and involve people with protected characteristics that could be affected. Please use this section to demonstrate understanding of who could be affected by the proposal.

#### 2.1 What data or evidence is there which tells us who is, or could be affected?

Proposals are geographically targeted within Lockleaze Ward and therefore Lockleaze residents, present and future, will be most affected.

Proposals include investment into sustainable transport infrastructure (potentially including public transport, cycling, and pedestrian infrastructure) serving the area. This improved provision will potentially affect those from a wider area.

A summary of the demographics which relate to the protected groups is listed below:

<b>Lockleaze Ward</b>	
Male	50.3%
Female	49.7%
<b>Age</b>	
0-15	22.4%
16-24	13.8%
25-39	24.6%
40-54	17.7%
55-64	9.0%
65+	12.6%
<b>Ethnic Group</b>	
White total	69.9%
BME total	30.1%
<b>Religion</b>	
Christian	46.8 %
Buddist	0.4 %
Hindu	1 %
Jewish	0.1 %
Muslim	10.6 %
Sikh	1.3 %
Other religions	0.6 %
No religion	30.6 %
Religion not stated	8.7 %
Disability	

Lockleaze ward is significantly more deprived than average with at two local neighbourhoods (LSOAs) falling within the most deprived 10% in England (IMD 2015). Residents living in deprived wards have more – and more severe – health and well-being needs than the general population. They have often missed out on early attention to these needs. They frequently face a range of other, often entrenched, difficulties, including school exclusion, fragmented family relationships, bereavement, unstable living conditions, increased accidents, long-term illness, and mental health problems (Healthy children, safer communities, DH, 2009; Evidence of needs paper, Ryan M and Tunnard J, 2011).

In Bristol, on average people in more deprived areas, not only have shorter

lives but they also spend more of their later years with a disability, in Lockleaze the average time estimated with a disability is 17.4 years. In Lockleaze the average life expectancy is 77 years, and on average a person living in this area live with a health condition for 17.4 years, starting at 59.6 years, this is before retirement age.

22% of the Lockleaze residents who responded to a Quality of Life Survey 2015-16 said they had a limiting long-term illness, health problem or disability (compared to 24% for Bristol overall).

In 2005-09 Lockleaze had the highest mortality rates from stroke and all circulatory diseases (combined) out of all ward in Bristol.

There are many people over 60 living in pension credit households (27%) - significantly worse than the England average (18%).

Lockleaze has high number of factors contributing to poor mental health suggesting that residents are at greater risk of developing a mental illness than in all but one other ward of Bristol.

## 2.2 Who is missing? Are there any gaps in the data?

The Lockleaze Estate Regeneration & Housing Delivery Cabinet report considers the principle of development and funding to support regeneration in Lockleaze. It is expected that individual delivery projects, to be considered further down the line, will include communication and consultation events in relation to the development. Future delivery projects will be expected to consider the needs of people with protected characteristics (including groups who may not be identified in this Equalities Impact Assessment).

## 2.3 How have we involved, or will we involve, communities and groups that could be affected?

The Ward Councillors have received briefings about Lockleaze Estate Regeneration & Housing Delivery proposals, which have sought to respond to identified community needs and aspirations as noted in the Cabinet report.

Full public consultation will take place prior to any planning application being submitted. Local residents will have the opportunity to view and comment on the proposed layouts at consultation events.

A Statement of Community Involvement will form part of the planning applications and will set out details of how people have been consulted, their responses and how the proposals have been influenced by stakeholders.

The Planning Authority will also consult local residents surrounding the site for their views and give them the opportunity to raise objections.

### **Step 3: Who might the proposal impact?**

Analysis of impacts on people with protected characteristics must be rigorous. Please demonstrate your analysis of any impacts in this section, referring to all of the equalities groups as defined in the Equality Act 2010.

3.1 Does the proposal have any potentially adverse impacts on people with protected characteristics?

From the current data available the following groups may be affected in the longer term as the planning application will lead to the physical redevelopment of the sites:

- Disability
- Age

It is therefore important to ensure a robust consultation process to allow for all members of the community to comment on the emerging design proposals that will be submitted for planning.

3.2 Can these impacts be mitigated or justified? If so, how?

Mitigation of any negative impacts will be considered on a project-by-project basis.

3.3 Does the proposal create any benefits for people with protected characteristics?

The proposal to facilitate the construction of some 800 new homes, including at least 239 affordable homes is expected to positively impact upon citizens with protected characteristics. A wider choice of new homes constructed to modern environmental and access standards will be provided constructed in accordance with Bristol Development Framework Core Strategy and Building Regulations requirements.

Implementation of pedestrian, public transport and cycle infrastructure

improvements can be expected to benefit citizens with protected characteristics. For example, proposals, subject to design local consultation, are expected to include a new footpath/cyclepath across Stoke Park which could be expected to improve wheelchair access.

3.4 Can they be maximised? If so, how?

See above

#### Step 4: So what?

The Equality Impact Assessment must be able to influence the proposal and decision. This section asks how your understanding of impacts on people with protected characteristics has influenced your proposal, and how the findings of your Equality Impact Assessment can be measured going forward.

4.1 How has the equality impact assessment informed or changed the proposal?

The assessment has raised the issue of how residents with protected characteristics could be affected by the project that will secure planning consents on Council own land and facilitate housing delivery. It has shown that these protected groups should be communicated with earlier, using a variety of methods and at key stages. It also highlights that consultants working with the city council must adhere to Equalities Policies and understands that they will be required to adapt their communication practices depending on the equalities group.


4.2 What actions have been identified going forward?

- Tailor communication methods and needs
- Consultants to be able to confidently speak with and discuss resident comments and concerns

4.3 How will the impact of your proposal and actions be measured moving forward?

- Lessons Learned Log will be compiled as the project progresses, noting down areas that could have been dealt with differently/better.
- Number of respondents to consultation event and how the demographics of respondents compare to the current demographics.



Service Director Sign-Off:	Equalities Officer Sign Off:  Duncan Fleming
Date: 23 February 2018	Date: 23 February 2018

## Eco Impact Checklist

<b>Title of report: Lockleaze Estate Regeneration &amp; Housing Delivery</b>				
<b>Report author: Paul Owens</b>				
<b>Anticipated date of key decision: 06/03/2018</b>				
<b>Summary of proposals:</b> Establishing approach to and funding for 'Lockleaze Estate Regeneration & Housing Delivery' to enable the delivery of some 800 new homes on some 16ha of land. Associated sustainable transport infrastructure investment.				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	Yes	-ive	<p><b>Housing Development:</b> Short-term emissions through the use of energy, transport fuel and materials during construction works.</p>	<p>All building works will meet planning policy guidance BCS13-15 as laid down in the BCC Core Strategy 2011.</p> <p>It is expected that new homes will have improved thermal/environmental performance over existing stock in the area.</p>
		+ive	<p><b>Sustainable transport infrastructure:</b> Implementation of pedestrian, public transport and cycle infrastructure improvements will generate emissions during construction.</p>	<p>Provision of new bus lanes, cycle routes, and pedestrian improvements are expected to reduce dependence upon cars and associated emissions.</p>
Bristol's resilience to the effects of climate change?	Yes	+ive	<p>Additional households will be accommodated in Lockleaze. All developments will be subject to Planning Consents. New developments may:</p> <ul style="list-style-type: none"> <li>- Be at risk of flooding.</li> <li>- Increase the flood plain making surrounding buildings more vulnerable to</li> </ul>	<p>New developments will be constructed in accordance with Core Strategy policy BSC13. Larger developments will include SuDs provision. SuperMajor developments will be subject to BREEAM for Communities.</p>

			<p>flooding.</p> <ul style="list-style-type: none"> <li>- Place additional demand on the mains drainage system.</li> <li>- Increase water run-off by creating more impermeable surfaces or removing trees.</li> <li>- Be designed to cope with extreme weather including heat wave and warmer weather.</li> <li>- Increase water consumption associated with site.</li> </ul>	<p>Utility capacity studies have been undertaken.</p> <p>Ensure housing and infrastructure can deal with extreme weather events.</p>
Consumption of non-renewable resources?	Yes	-ve	<p>Short-term use of fossil fuels and other non-renewable materials through the use of energy, vehicle fuel and materials during construction works.</p> <p>Long term consumption of fossil fuels for occupying and travelling to and from dwellings.</p> <p>Heat provision to houses</p>	<p>Developments will at least meet Building Regulations requirements.</p> <p>There will be some on-site energy generation (solar panels) – There should be a 20% renewable energy provision on developments as planning policy</p> <p>New dwellings will benefit from proximity to local services, sustainable transport infrastructure investment, and IT connectivity to enable homeworking.</p> <p>Install heating systems in according to the heat hierarchy policy as set by planning - document BCS14,</p>
Production, recycling or disposal of waste		-ive	<p>Waste will arise from construction and demolition works.</p>	<p>Construction contractors will be obliged to a prepare site waste management plan in an approved format, which</p>

			Waste will arise from the normal occupation of the homes	<p>will detail how waste will be minimised, and recycling promoted.</p> <p>It is anticipated that homes will be designed to provide adequate off-footpath recycling facilities.</p>
The appearance of the city?		+ive	New homes will alter the appearance of the city.	Good 'placemaking' is key to Lockleaze Estate regeneration. Almost all identified sites 'brownfield'. Local community aspirations are being taken into account. All developments will be subject to usual consultation and statutory Planning controls.
Pollution to land, water, or air?		-ive	<p>Construction works will involve the use and storage of materials that could contaminate land, watercourses and surface water drains, if accidentally released.</p> <p>Works are likely to create dust and noise.</p> <p>Construction works may create new sewage discharges.</p> <p>Diffuse pollution will be created from run-off from new roads and vehicular parking areas created by the development.</p> <p>Site may have been contaminated by previous activity.</p>	<p>Planning Consents will be expected to require the use of a Construction Management Plan, to be approved by the planning authority.</p> <p>Some development sites are known to be contaminated and will be remediated.</p> <p>Development schemes are expected to include dedicated cycle storage</p> <p>Major investment in sustainable transport infrastructure planned which will not only provide good alternatives to car use for new residents, but for existing residents and commercial uses.</p>

			<p>New dwellings will impact upon traffic flows and noise levels in the surrounding area.</p> <p>Any increases in traffic resultant from the dwellings will impact on local air quality.</p>	
Wildlife and habitats?		-ive	<p>It is possible for works associated with development works to:</p> <ul style="list-style-type: none"> <li>• Impact upon legally protected species or habitats</li> <li>• Impact on priority species or habitats listed in the UK or Bristol Biodiversity Action Plan.</li> <li>• Remove or damage trees.</li> </ul> <p>Materials such as timber can have a detrimental effect on wildlife and habitats if not carefully sourced.</p>	<p>Development sites (which are mostly brownfield) will be subject to ecological impact assessments prior to development.</p> <p>Appropriate avoidance/mitigation measures will be considered and implemented on a site-by-site basis.</p> <p>Procure sustainably sourced wood and encourage contractors to do the same.</p>

**Consulted with:**

**Summary of impacts and Mitigation - to go into the main Cabinet/ Council Report**

The significant impacts of this proposal are *mainly related to the proposed development of some 800 new homes, predominantly on brownfield sites, and investment into sustainable transport infrastructure.*

The proposals include the following measures to mitigate the impacts: *sustainable transport infrastructure provision. The impacts and mitigation of individual housing development sites will be considered on a site-by-site basis.*

The net effects of the proposals are *mixed but will have positive aspects in the provision of sustainable travel infrastructure and efficient housing provision.*

<b>Checklist completed by:</b>	
Name:	Paul Owens
Dept.:	Place/Growth & Regeneration
Extension:	22737
Date:	21/2/2018
Verified by Environmental Performance Team	Nicola Hares with advice from Amy Harvey.

<b>Title:</b> Discretionary Business Rate Relief for Not-For-Profit & Charitable Organisations	
<b>Ward(s):</b>	City Wide
<b>Author:</b> Martin Smith/Jo Hunt	<b>Job title:</b> Revenues Manager/Business Rate Group Leader
<b>Cabinet lead:</b> Cllr Cheney	<b>Director lead:</b> Chris Holme
<b>Proposal origin:</b> Councillor	
<b>Decision maker:</b> Mayor <b>Decision forum:</b> Cabinet	
<b>Purpose of Report:</b> To approve the new Discretionary Rate Relief (DRR) Policy (app A)	
<b>Evidence Base:</b> Public consultation on two options was carried out between October and December 2017, indicating a preference amongst respondents for one option.	
<b>Officer Recommendations:</b> <ul style="list-style-type: none"> <li>• To adopt a revised DRR policy, based on the criteria outlined as option 1 of the consultation (set out at Appendix A).</li> <li>• DRR will be considered for organisations whose turnover is under £100,000, and awards will be up to 100% relief of the business rate liability.</li> <li>• To note approximately 98 organisations (in 112 premises) that have benefitted from relief in 2017 may meet the criteria and continue to receive relief upon application.</li> </ul>	
<b>Background information</b> <ol style="list-style-type: none"> <li>a. DRR is awarded to charities, voluntary groups and not for profit organisations. There is no legal requirement for the Council to award it.</li> <li>b. Charities occupying premises used wholly or mainly for charitable purposes receive mandatory relief of 80%, and can apply for DRR for the remaining liability.</li> <li>c. Leisure centres receive 80% mandatory charitable relief and a 20% top-up from DRR. The award of discretionary relief that forms part of the contracts will continue.</li> <li>d. Full Council on 21 February 2017 committed to making savings of £158,000 in 2018-19.</li> <li>e. Various proposals were considered and 2 options were subject to full consultation, both of which would be expected to meet the savings commitment in full.</li> </ol>	

<b>Revenue Cost:</b> £ NA	<b>Source of Revenue Funding:</b> N/A
<b>Capital Cost:</b> £ NA	<b>Source of Capital Funding:</b> N/A
<b>One off cost</b> <input type="checkbox"/> <b>Ongoing cost</b> <input type="checkbox"/>	<b>Saving Proposal</b> <input checked="" type="checkbox"/> <b>Income generation proposal</b> <input type="checkbox"/>
<b>Finance Advice:</b> In summary, this proposal seeks to reduce the DRR relief to businesses and thereby increase net rates payable. It aims to improve BCC's financial position by £158k from 2018/19 onwards as referenced in the savings tracker against initiative RS15. Its delivery is recorded within the MTFP against 'Locally Raised Funding'. Subject to successful public consultation, the funding itself is intended to be included in the Budget/NNDR1 exercise for 2018/19 and will thereby impact the General Fund for 2018/19. I confirm that I have reviewed this business case and validated the assessment of the saving.	
<b>Finance Business Partner:</b> Jemma Prince 13.7.17, Tony Whitlock 22.02.18	

**Legal Advice:** Regulation 2 of The Non-Domestic Rating (Discretionary Relief) Regulations 1989 provides that the charging authority making a decision or making or varying a determination regarding discretionary relief shall give a years' notice in writing to the ratepayer or ratepayers concerned. It is understood that this has already been done.

Public consultation on the proposals has been carried out. In order to be lawful the consultation should have taken place when proposals were at a formative stage, consultees should have sufficient information and reasons for any proposal to permit intelligent consideration and the consultation should allow adequate time for consideration and response;

There must be clear evidence that the decision maker has considered the consultation responses or a

summary of them, before taking its decision.

The decision maker must comply with the Public Sector Equality duty to consider the need to promote equality for persons with “protected characteristics”: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation and have due regard to the need to

- i) Eliminate discrimination, harassment, and victimisation
- ii) Advance equality of opportunity
- iii) Foster good relations between persons who share a relevant protected characteristic and those who do not share it.

In order to do this, Cabinet will need to have sufficient information about the effects of the proposed changes to discretionary rate relief on the aims of the Equality Duty. The Equalities impact assessment is designed to assist with compliance with this duty and so the decision maker must take in to consideration the assessment and the Public sector equality duty before taking the decision.

**Legal Team Leader:** Sarah Sharland 12/02/18

**Consultation Details:**

The full consultation on 2 options ended 24 December.

Option 1 – Restrict eligibility to organisations whose annual turnover is below £100,000; apply DRR as full discretionary relief or as a top up to mandatory charity relief.

Option 2 - Restrict eligibility to organisations whose annual turnover is below £150,000, but cap relief at 70%, so that all organisations will pay something. Charities will continue to receive 80% mandatory relief, but no additional top up from DRR.

**Consultation response:**

Option 1 –was the preferred choice, with 55 (72%) respondents selecting this option. More details on Appendix B.

<b>DLT Sign-off</b>	Patsy Mellor	31/01/18
<b>CLB Sign-off</b>	CLB	6/2/18
<b>Cabinet Member sign-off</b>	Councillor Cheney	30/01/18
<b>For Key Decisions - Mayor's Office sign-off</b>	The Mayor	02/02/18

Appendix A – Further essential background / detail on the proposal	<b>YES</b>
Appendix B – Details of consultation carried out - internal and external	<b>YES</b>
Appendix C – Summary of any engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment	<b>NO</b>
Appendix E – Equalities screening / impact assessment of proposal	<b>YES</b>
Appendix F – Eco-impact screening/ impact assessment of proposal	<b>NO</b> <i>It is not anticipated that there will be any significant environmental impacts arising from this proposal.</i> <i>Nicola Hares 1/2/18</i>
Appendix G – Financial Advice	<b>NO</b>
Appendix H – Legal Advice	<b>NO</b>
Appendix I – Combined Background papers	<b>YES</b>
Appendix J – Exempt Information	<b>NO</b>



## Appendix A

### 1. Who will be affected

The proposal is likely to mean that 19 organisations will now be due to pay business rates across 45 premises of an approximate total amount of £125,000 (based on a 2017 rate relief calculation).

Organisation name	Loss of relief/increase in rates	Charity or similar and will continue to get 80% mandatory charity relief
Action Academies Ltd	£28,740	
Artspace Lifespace	£3,291	Yes
Axis Trampoline Club Ltd	£25,866	
Bristol Bike Cafe CIC	£8,597	
Bristol Centre For The Advancement Of Architecture Ltd	£1,095	Yes
Bristol Wood Recycling Project	£3,961	
Community Initiatives South West Ltd	£2,886	Yes
Easton Community Centre	£1,532	Yes
Gathering Voices Ltd	£1,661	Yes
Hartcliffe Health & Environment Action Group	£1,435	Yes
Hawkspring	£205	Yes
Lawrence Weston Community Farm	£1,676	Yes
Manor Farm AFC Social Club	£8,388	
Peoples Republic Of Stokes Croft CIC	£7,163	
Rose Green Sports & Leisure Ltd	£7,012	
Talking Money	£2,873	Yes
The Invisible Circus CIC	£9,800	
Time 2 Share	£695	
Young Bristol	£8,213	Yes

### 2. Proposed Policy

#### Strategic Intent

The Mayor's vision is to make Bristol a more equal city where everyone can share in its success. The Corporate Strategy will allow this vision to become reality. The discretionary business rates relief policy will work within the themes identified by supporting the charities and not-for-profit organisations that work with Bristol's citizens.

We will be looking at each application to ensure the following is supported:

- I. Empowering and Caring  
Work with the city to empower communities and individuals, increase independence and support those who need it.
- II. Fair and Inclusive  
Improve economic and social equality, pursuing economic growth which includes everyone and making sure people have access to quality learning, decent jobs and homes they can afford.
- III. Well Connected  
Take bold and innovative steps to make Bristol a city which is better connected, linking up people with jobs and with each other.
- IV. Wellbeing  
Create healthier and more resilient communities where life expectancy isn't determined by

wealth or background and children have the best possible start in life

V. **Belonging**

Make Bristol a place where everyone has a stake, ensuring people feel at home and have a sense of ownership in shaping the city

## 2.1 Eligibility

To be eligible for DRR, the organisation must meet all of the following criteria:

A. The annual turnover (defined as total income) of the organisation must not exceed £100,000 in the most recent set of published audited or appropriate accounts, and:

- 1) The accumulated surplus does not exceed £20,600 as evidenced by the income and expenditure accounts of the organisation over a five year period . If the organisation has not been in existence for 5 years and accounts are only available for 1, 2, 3 or 4 years a pro rata accumulated figure will be used to determine eligibility.

An allowance will be made against the aggregate sum of £20,600 where an organisation can demonstrate to the satisfaction of officers that surpluses are being accumulated for a specific purpose.

- 2) If the organisation's accumulated surplus is above £20,600 they will be eligible only if their surplus for the previous financial year, as shown in the latest set of accounts is less than twice the rates payable in the year of application.

NB. The figures used increase each year in line with inflation. This set of criteria takes precedence over the base line standards.

- B. The organisation must declare all grant support received (from the Council and other bodies), including any financial support through Neighbourhood Partnerships.
- C. Any award made is classed as State Aid. The total State Aid received by an organisation must be less than €200,000 over any period of three consecutive fiscal years (referred to as the De Minimis Exemption detailed in Commission Regulation EC/1407/2013).
- D. The organisation should be properly constituted with not-for-profit, charitable and/or community objectives, or if not properly constituted, must identify its clear and shared aims/vision.
- E. The organisation must meet the Council's Baseline Standards for Voluntary, Community and Social Enterprise Organisations.

### Exceptions to the criteria

There may be exceptional cases where we identify organisations we consider of being strategic importance in delivering the priorities from the Corporate Plan.

For national scout, guide or similar organisation the application process will be streamlined to avoid unnecessary administration.

## 2.2 Strategic Intent

Organisations must evidence their strategic intent under one of the following categories, and should include details of any other category criteria that may also apply in their particular case, eg a community organisation should apply under 2.2.1 but may also be active in supporting understanding of digital technology (2.2.2 (c)).

### 2.2.1 Community (Neighbourhoods & Communities)

For Neighbourhoods and Communities our priority is to support local voluntary and community sector organisations that contribute to one or more of the Council's Corporate priorities for local people. By

voluntary and community sector organisations we mean non-governmental, community-based organisations which are value-driven (their values arise from the community) and which reinvest their surpluses to further social, environmental or cultural objectives. For the purposes of DRR, the sector includes voluntary and community organisations, charities, CICs, co-operatives and mutuals. Any organisation applying will need to have a constitution, be incorporated and have at least three trustees or directors.

We realise that our DRR allocation may not be sufficient to fund all the voluntary and community sector organisations that apply to us. Consideration will be given to the number of eligible organisations and the total call on the available budget. We will award up to 100% relief. Therefore, for Neighbourhoods & Communities we will use the DRR to support those voluntary and community organisations that we assess as making a significant contribution to the corporate priorities AND benefit people from Bristol's most deprived or disadvantaged communities. Greater clarity on this will be provided in the guidance to the application process.

We will also take the following into account to determine if an organisation should receive DRR support:

- A. Are at least 90% of the organisation's beneficiaries residents of Bristol?
- B. Does the organisation confirm that they will not use the rateable premises for religious proselytising (evangelising) or for party political purposes?
- C. Is the organisation's management committee/board made up of at least 3 trustees or directors who are not related and do not live together?
- D. Does the organisation confirm that they reinvest their surpluses (profit) to further their objectives (as shown in their constitution)?
- E. Are the organisation's activities accessible to Disabled people?
- F. What is our assessment of the organisation's evidence that their aims and activities support the Corporate Strategy?
- G. What is our assessment of the organisation's evidence that their activities benefit people from Bristol's most deprived or disadvantaged communities?

### **2.2.2 Creativity Economy, Enterprise and Inclusion**

To determine the size of the DRR award, consideration is given to the number of eligible organisations and the total call on the available budget. A tapering measurement will be considered for future years. The project does not need to fit all the criteria, a scoring matrix is attached as Appendix B.

We will also consider:

- A. Is the property in a high street or local centre with a high level of vacancies, in an area of deprivation (in terms of income, employment, education, skills and training, see relevant purple highlights at [www.bristol.gov.uk/sites/default/files/assets/documents/ward%20summary%20table.pdf](http://www.bristol.gov.uk/sites/default/files/assets/documents/ward%20summary%20table.pdf)) or a priority growth area – Bristol Temple Quarter Enterprise Zone, Avonmouth Severnside Enterprise Area (within the Bristol boundary), Filton Enterprise Area (within the Bristol boundary), South Bristol Regeneration Area.
- B. Is the property currently empty or was it empty when the organisation applying for DRR initially moved in?
- C. How the organisation supports the development and understanding of digital technology?
- D. How the organisation contributes to a vibrant Bristol that either raises the profile of Bristol or contributes to the development of creativity in the city?
- E. We have a small, finite budget available to support DRR and are keen to support as many organisations as possible. Consequently we are keen to see how the organisation plans to become less dependent on discretionary rates relief in the future.
- F. Does the organisation supports skills development, start-up businesses and lead to or help create paid employment opportunities, particularly in key business sectors as defined by the Local Enterprise Partnership.

- G. How the organisation provides opportunities for communities to engage with the cultural life of the city?

### **2.2.3 Environmental & Leisure**

To determine the size of the DRR award, consideration is given to the number of eligible organisations and the total call on the available budget. A tapering measurement will be considered for future years. We will also use the scoring matrix at Appendix A.

### **2.2.4 Children and Young People's Services**

To determine the size of the DRR award, consideration is given to the number of eligible organisations and the total call on the available budget. A tapering measurement will be considered for future years. We will also consider:

- A. Does the organisation provide space or opportunities for people to learn and to try out new things, engaging in activities to fulfil the Council's corporate priorities for local people.
- B. What evidence is there of the quality of the service provided, and how the service meets the needs of children and young people?
- C. Are at least 90% of the organisation's beneficiaries residents of Bristol?
- D. Are the organisation's activities provided for and accessible to local communities in need?

### **2.3 Scrutiny**

When considering applications, officers will have due regard to the overall budget and the strategic value of the organisation's aims, in deciding the amount of the award.

### **2.4 Appeal process**

There is no statutory right of appeal against a decision made by the Council regarding discretionary rate relief. However, the Council recognises that it is fair to have a non-statutory process to have a decision not to grant discretionary rate relief reconsidered.

The appeal must be in writing and be received by the Council within 28 days of the date of the Council's letter refusing relief.

The appeal will be considered by a panel consisting of a Council Finance Officer and at least one Service Director. Decisions of the panel will be final. The ratepayer does not have a right to appear in person. The panel may, however, invite both the ratepayer and the appropriate Revenues Service officer to a meeting to hear oral submissions. Whilst the appeal is being considered, organisations should continue to make provision to pay their rates as normal. Failure to do so may result in recovery action.

If a ratepayer considers that there has been a failure to comply with the procedure or other irregularities in the way the appeal has been handled they may have a right to refer the matter to the Local Government Ombudsman. If a ratepayer considers the outcome of the appeal to be flawed on public law grounds the ratepayer may have a right of judicial review.

**Appendix A SPORTS CLUBS' RATE RELIEF MATRIX**

Club Structure	Evidence	Points Score
<p><b>1. Governance</b></p> <p>Does the constitution demonstrate that the club is open to all / sections of the community and is organised on an amateur / non-profit making basis?</p> <p>OR</p> <p>Have the following if Club Mark accreditation is not possible:</p>	<p>Copies of the following</p> <ul style="list-style-type: none"> <li>• Copy of club constitution</li> <li>• Club Mark certificate</li> </ul> <p>Copies of the following:</p> <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Child Protection policy</li> <li>• Equity policy</li> <li>• Coaches/Officials code of conduct</li> <li>• Parents/Carers code of conduct</li> <li>• Player / member code of conduct</li> <li>• Membership Policy</li> </ul>	<p><b>20</b></p> <p><b>3</b></p> <p><b>3</b></p> <p><b>3</b></p> <p><b>3</b></p> <p><b>3</b></p> <p><b>2</b></p>
<p><b>Affiliation</b></p> <p>Is the club affiliated to a recognised National Governing Body for their sport? Or where a governing body is not present, make reasonable efforts to seek alternative, comparable means of affiliating?</p>	<p>Provide affiliation number or alternative</p>	<p><b>5</b></p>
<p><b>3. Insurance</b></p> <p>Does the club have appropriate public liability insurance? Does the club, where its coaches/officials fall outside of this, ensure that individuals obtain personal professional indemnity or public liability insurance?</p>	<p>Copy of club insurance document and/or Proof of individual liability insurance holders (ie. membership letter/number) and a breakdown of what these policies cover</p>	<p><b>10</b></p>
<p><b>4. Income Generation</b></p> <p>Does the facility have a Business Plan Details of hiring facilities to external user groups and attached policies for hiring How the income is re-invested on site?</p>	<p>Copies of the following:</p> <ul style="list-style-type: none"> <li>• Business Plan and related policies</li> <li>• Evidence of re-investment of income through external bookings / hiring</li> </ul>	<p><b>10</b></p> <p><b>5</b></p>

<p><b>5. Sports Development</b></p> <p>Does the club have a current Sports development Plan? Are all coaches qualified? Current CRB Checks? First Aid qualified? Is there a Child Welfare / Protection Officer?</p> <p>Does the club have formal links to schools or other local community groups? Does the club have an active development plan? Does the club communicate regularly with its members?</p>	<p>Copies of the following:</p> <ul style="list-style-type: none"> <li>• Sports / Club Development Plan</li> <li>• Coach Qualifications</li> <li>• CRB Checks Complete</li> <li>• First Aid Certificate</li> <li>• Child Welfare / Protection Officer</li> <li>• School Club links</li> <li>• Club to club links</li> <li>• Regular club meetings</li> </ul>	<p><b>20</b></p> <p><b>5</b></p> <p><b>5</b></p> <p><b>5</b></p> <p><b>5</b></p> <p><b>3</b></p> <p><b>3</b></p> <p><b>3</b></p>
<p><b>6. Community Involvement</b></p> <p>Club Membership or Attendance reflects the population it is situated in.</p> <p>Are at least 90% of the organisation's beneficiaries residents of Bristol</p> <p>Are the organisation's activities provided for and accessible to local communities in need?</p> <p>Does the club contribute in any other way to the community?</p>	<p>Attendance or membership breakdowns by gender, age, ethnicity, postcodes.</p> <p>Examples of community initiatives – e.g. setting up a disability session. Working with The Police to combat antisocial behaviour, maintenance of property or grounds.</p>	<p><b>5</b></p> <p><b>10</b></p>
<p><b>7. Health and Safety</b></p> <p>Does the club have emergency procedures in place for dealing with an accident/incident? Does the club conduct risk assessments for each of the venues that might be used during the course of a season (not including away fixtures)?</p>	<p>Copies of the following:</p> <ul style="list-style-type: none"> <li>• Guidelines for the dealing with an accident/incident</li> <li>• Risk assessments</li> </ul>	<p><b>5</b></p> <p><b>5</b></p>

All scores noted in the right hand column are the maximum scores possible for each section. The information provided will be assessed against the criteria and scores will be awarded against the merits of the presentation of information.

## Appendix B Creativity Economy, Enterprise and Inclusion Applications Rates Relief Matrix

Criteria	Weighting
Is the property in a high street or local centre with a high level of vacancies, in an area of deprivation (in terms of income, employment, education, skills and training, or a priority growth area – Bristol Temple Quarter Enterprise Zone, Avonmouth Severnside Enterprise Area (within the Bristol boundary), Filton Enterprise Area (within the Bristol boundary), South Bristol Regeneration Area.	20%
Is the property is currently empty or was it empty when the organisation applying for DRR initially moved in?	10%
Does your organisation support the development and understanding of digital technology?	10%
<p>Does your project contribute to a vibrant Bristol that either raises the profile of Bristol or contributes to the development of creativity in the city.</p>	20%
Your organisation plans to become less dependent on discretionary rates relief in the future?	10%
Your organisation supports skills development, start up business and lead to or help create paid employment opportunities, particularly in key business sectors as defined by the LEP	20%
Does your organisation provide opportunities for communities to engage with the cultural life of the city?	10%

## Appendix B

### DRR Consultation analysis

1. The consultation was launched citywide on 2 October 2017 and ran until 24 December 2017. The Revenues Service also wrote to each of the 101 organisations who currently receive DRR, encouraging their participation in the online consultation.
2. In total there were 80 responses to the consultation, of which 27 were from organisations currently receiving relief. A further 21 respondents identified themselves as being users of organisations receiving relief.
3. **Summary**
  - a. Option 1 – where organisations with a turnover below £100,000 are eligible for relief was the preferred choice, with 55 (72%) respondents selecting this option.
  - b. 12 respondents objected to a reduction in funding, suggesting we increase CTAX/business rates, lobby government for more funding, or make other cuts
  - c. 2 respondents proposed that we consider groups with turnover in excess of £150k, noting that their margins are still tight but they do have a wide reach in communities
  - d. 1 respondent suggested we have a policy which assessed based on an organisations impact and how they subsidise the gaps in support from public/private sector
  - e. 4 responses were not relevant to the consultation
  - f. Voscur directly emailed their view that “In addition to being a major employer, harnessing voluntary action, and bringing substantial resources into the city, VCSE (Voluntary, Community and Social Enterprise organisations) contribute to building social capital and resilience, and help people to manage in these difficult times...We would like to see the DRR process opened up to the wider charity sector and the limited budget used for the greatest impact”

### 4. Equalities

27 used this field to comment generally on the impact on users/providers

8 specifically mentioned equalities groups:

- 1 - All equalities groups
- 3 - Young
- 4 - Young and old

However, this would appear to be in relation to users of their services who happen to be in these equalities groups, rather than having a wider effect on groups of people with protected characteristics

### 5. Notes

- a. This outcome is as expected – it does reflect the fact that most of the current recipients meet the criteria for option 1.
- b. There were at least 10 responses (for option 1) which identified with *one* single organisation, however this potential bias does not affect the overall outcome.
- c. There were 39 responses who did not identify with *any* organisation, and the comments suggest these broadly represent communities and organisations across the entire city; there is no indication that any one organisation (other than the one above) is unfairly weighted in the data.



## Bristol City Council Equality Impact Assessment Form



Name of proposal	Changes to the Discretionary Business Rate Relief (DRR) for Charities, Not-For-Profit & Voluntary Organisations
Directorate and Service Area	Revenues Service, Neighbourhoods
Name of Lead Officer	Jo Hunt, Louise Davidson

### Step 1: What is the proposal?

Please explain your proposal in Plain English, avoiding acronyms and jargon. This section should explain how the proposal will impact service users, staff and/or the wider community.

#### 1.1 What is the proposal?

BCC operates an existing policy currently awarding Discretionary Rate Relief to 100 Charities, Not-for-Profit and voluntary organisations, but due to financial pressures, is making changes with effect from April 2018 to reduce the total expenditure of the scheme. Two options were consulted on:

Option 1 – limited to organisations with a turnover below £100,000, but still giving them up to 100% relief, thereby continuing to support those with the lowest income

Option 2 – limited to organisations with a turnover below £150,000, but only giving them up to 70% relief, thereby supporting more organisations with every one paying something

This is against a backdrop of a general reduction in the financial support to such organisations, and we recognise that many organisations are already being asked to do more with reduced funds.

### Step 2: What information do we have?

Decisions must be evidence-based, and involve people with protected characteristics that could be affected. Please use this section to demonstrate understanding of who could be affected by the proposal.

#### 2.1 What data or evidence is there which tells us who is, or could be affected?

We have conducted some light touch research into the organisations currently

receiving Discretionary Rate Relief

Option 1 will affect 19 organisations, of which 2 are involved with people of protected characteristics

Option 2 – will affect all 100 organisations, of which 38 are involved with people of protected characteristics

2.2 Who is missing? Are there any gaps in the data?

We have looked at data held for current recipients of the relief. We have not done any equalities monitoring for the organisations involved or their service users. Light touch research has been carried out to identify each organisation's aims and objectives. However we don't know who uses the organisations, nor do we know which organisations might apply for relief in the future.

2.3 How have we involved, or will we involve, communities and groups that could be affected?

Public consultation was carried out between 2/10 and 24/12/2017, and all current recipients of relief who could be affected were invited to participate.

### Step 3: Who might the proposal impact?

Analysis of impacts on people with protected characteristics must be rigorous. Please demonstrate your analysis of any impacts in this section, referring to all of the equalities groups as defined in the Equality Act 2010.

3.1 Does the proposal have any potentially adverse impacts on people with protected characteristics?

We don't know who uses the services that may be affected so are not able to identify potential impacts. We accept that *any* loss of funding will impact the organisations affected but to varying degrees – each organisation will respond individually depending on their circumstance and financial position e.g. they may be able to secure alternate funding or absorb the financial impact. The public consultation asked the question

*“Do you think either of the proposals adversely affects certain groups of people? - If yes, please tell us who it affects”*

7 responses think it will affect young and old people, and 1 said it will affect all equalities groups. We acknowledge that the proposal will cause some organisations to increase their charges or even withdraw their service and that this could affect users of their services who happen to be in these equalities groups. However there is nothing to suggest that these proposals would have a wider effect on groups of people with protected characteristics.

3.2 Can these impacts be mitigated or justified? If so, how?

Appropriate activities will be considered once the results of the consultation are analysed and it is known who will be affected – this could include providing advice and guidance, changing business plans, signposting to business help e.g. banks, online, organise a ‘provider day’ for groups to meet and reorganise themselves/match up with other groups.

The consultation was carried out between October and December 2017, indicating a clear preference amongst respondents for Option 1. Discretionary rate relief will be considered for organisations whose turnover is under £100,000, award given will be in the form of up to 100% relief of the business rate liability.

We have identified 19 organisations that will be affected by the proposal. A strategy is being arranged to communicate the changes to the organisations.

3.3 Does the proposal create any benefits for people with protected characteristics?

None directly, though there may be some indirect benefits for organisations resulting from activities to mitigate the impact.

3.4 Can they be maximised? If so, how?

N/a

#### **Step 4: So what?**

The Equality Impact Assessment must be able to influence the proposal and decision. This section asks how your understanding of impacts on people with protected characteristics has influenced your proposal, and how the findings of your Equality Impact Assessment can be measured going forward.

4.1 How has the equality impact assessment informed or changed the proposal?

We have been able to map out where the impacts will be. Our recommendation to adopt option 1 will ensure the majority of organisations will not be affected, thereby continuing to support a greater number of organisations whose users will include those with protected characteristics.

4.2 What actions have been identified going forward?

More needs to be done to ensure we are aware of who the service users who have protected characteristics. We provide discretionary rate relief to organisations for a specific purpose and therefore, we need to know what groups will be affected by a change in service or policy. This will support us assess impact and mitigation measures to reduce impact where necessary.

4.3 How will the impact of your proposal and actions be measured moving

forward?
Feedback for organisations and service users will be analysed, and contribute to future policies.

Service Director Sign-Off: Chris Holme	Equalities Officer Sign Off: Cherene Whitfield
Date: 21 February 2018	Date: 20 February 2018

Appendix I

The proposal is likely to mean the following organisation will retain relief.

Organisation name	Full Property Address	Description
146th St Cuthbert'S Scout Group	Hall Next To, 3, Hill Lawn, BS4 4PH	Charitable Top up 20%
148th Bristol (1st Stockwood) Scout Group	R/O The Harvesters, Harrington Road, BS14 8JZ	Charitable Top up 20%
169th Bristol Brentry Scout Group	Adj, 32, Tranmere Avenue, BS10 7JN	Charitable Top up 20%
17th Bristol Scout Group	Adj St Michaels Church, Two Mile Hill Road, BS15 1BQ	Charitable Top up 20%
18th Bristol Scout Group	Fripp Lodge, Archfield Road, BS6 6BX	Charitable Top up 20%
197th Bristol (1st Stapleton) Scout Group	197th, (1st Stapleton) Scout Group, Stonechat Gardens, BS16 1UQ	Charitable Top up 20%
1st Bishopston Scout Group	White Hawk Lodge Scout Hq, 68a, Kings Drive, Bishopston, BS7 8JH	Charitable Top up 20%
1st Bristol Muslim Scout Group	Scout Group, Muller Road, Horfield, BS7 0AA	Charitable Top up 20%
21st Bristol Scout Group	Hall Adj Whitchurch Sports Centre, Bamfield, BS14 0ZZ	Charitable Top up 20%
227th Bristol Scout Group	227th Scout Group Hut, Eastfield Terrace, BS9 4BW	Charitable Top up 20%
26th Bristol (Northcote) Scout Group	26th (Northcote) Scout Group, Great Brockeridge, BS9 3TY	Charitable Top up 20%
32nd Bristol Scout Group	278, Whitehall Road, BS5 7BG	Charitable Top up 20%
43rd Bristol Scout Group	R/O, 15-17, Kewstoke Road, BS9 1HA	Charitable Top up 20%
44th Bristol (White Tree) Scout Group	44th (White Tree) Scout Group, Falloodon Way, BS9 4HR	Charitable Top up 20%
5th Bristol Scout Group	5th Scout Group, Brookside Road, BS4 4JS	Charitable Top up 20%
62nd Bristol Scout Group	62nd Scout Group, Rozel Road, BS7 8SQ	Charitable Top up 20%
63rd Bristol Scout Group	The 63rd Scout Group, St Bartholomews Road, BS7 9BJ	Charitable Top up 20%
7th Bristol Scout Group	7th Scout Group, Pavay House, Waterloo Street, Clifton, BS8 4BT	Charitable Top up 20%
82nd St Bernadette Scout Group	Scout Hut, Kylross Avenue, BS14 9NQ	Charitable Top up 20%
Avon County Scout Council	Avon County Scout Council, Midland Wharf, BS2 6TL	Charitable Top up 20%
Begbrook Green Bowling Club	Clubhouse At Begbrook Green Bowling Club, Frenchay Park Road, BS16 1HY	Charitable Top up 20%
Bluebell Care Trust	1 St Lawrence House, Quay Street, BS1 2JL	Charitable Top up 20%
Brislington Junior Football Club	Brislington House, Playing Fields, Ironmould Lane, BS4 5RS	Charitable Top up 20%
Brislington Small-Bore Rifle Club	20, Jean Road,BS4 4JU	Charitable Top up 20%
Bristol Cruising Club	The Barge (Sabrina 6), Redcliffe Backs, BS1 6LY	Charitable Top up 20%
Bristol Experimental And Expanded Film	15-16, Brunswick Square, BS2 8NX	Not for profit/CIC etc Up to 100%
Bristol Festivals	3rd Fl, 1, Unity Street, BS1 5HH	Charitable Top up 20%
Bristol Games Hub Ltd	Stokes Croft Studios, 2, Thomas Street, BS1 3RB	Not for profit/CIC etc Up to 100%
Bristol Games Hub Ltd	Pt 1st Flr Front, 77-79, Stokes Croft, BS1 3RD	Not for profit/CIC etc Up to 100%
Bristol Games Hub Ltd	Part 1st Flr Rear, 77-79, Stokes Croft, BS1 3RD	Not for profit/CIC etc Up to 100%
Bristol Institute Of Contemporary Art	3rd Floor, 37-39, Jamaica Street, BS2 9JP	Not for profit/CIC etc Up to 100%
Bristol Lesbian Gay Bisexual And Transgender Forum	Room 17, 2nd Flr, St Pauls Learning & Family Centre, 94, Grosvenor Road, BS2 8XJ	Charitable Top up 20%
Bristol Playbus Project	Unit 8, St Gabriels Business Park, St Gabriels Road, BS5 0RT	Charitable Top up 20%
Bristol Sea Cadets Knowle Unit	Sea Cadets, Knowle Unit, 73, Buller Road, BS4 2LW	Charitable Top up 20%
Bristol South District Scout Council	249th (Eastwinds) Scout Group, St Annes Terrace, BS4 4DY	Charitable Top up 20%
Bristol Zen Dojo (1998) Ltd	91-93, Gloucester Road, Bishopston, BS7 8AT	Charitable Top up 20%
Brunel District Scout Council Executive Committee	61-67, Woodborough Street, BS5 0JA	Charitable Top up 20%
Cotswold Community Association	Cotswold Community Association, Dursley Road, BS11 9XE	Charitable Top up 20%
Crescent Lawn Tennis Club	R/O, 70, Kensington Park Road, BS4 3HU	Charitable Top up 20%
E A C H	Gnd Flr Rear, 1, Harley Place, Clifton Down, BS8 3JT	Charitable Top up 20%
Empire Fighting Chance	The Mill, Lower Ashley Road, St Agnes, BS2 0YJ	Charitable Top up 20%
Filwood Hope Ltd	11-13, Filwood Broadway, BS4 1JL	Charitable Top up 20%
Hartcliffe Community Park Farm Ltd	Hartcliffe Community Park Farm, Lampton Avenue, BS13 0QH	Charitable Top up 20%
Headley Park Community Association	Headley Park Community Association, Headley Park Avenue, BS13 7NW	Charitable Top up 20%
Henbury & Brentry Community Council	Henbury Club, Machin Road, BS10 7HG	Charitable Top up 20%
Henbury Old Boys Afc	Henbury Old Boys Afc, Lorain Walk, BS10 7AS	Charitable Top up 20%
Henbury Village Hall Charity	Henbury Village Hall, Church Lane, Henbury, BS10 7QF	Charitable Top up 20%
Hengrove & District Community Association	Hengrove Community Centre, Fortfield Road, BS14 9NX	Charitable Top up 20%
Henleaze Bowling Club	Henleaze Bowling Club Ltd, Grange Court Road, BS9 4DR	Charitable Top up 20%
Hillfields Young Mothers Group	Hillfields Community Hub, Thicket Avenue, BS16 4EH	Charitable Top up 20%
Ideal Community Action	Rooms 9,14,28 & 29, The Old School House, Salisbury Street, Barton Hill, BS5 9UD	Charitable Top up 20%
In Bristol Ltd	19b, Barton Hill Trading Estate, Herapath Street, BS5 9RD	Not for profit/CIC etc Up to 100%
Jam Studios	2nd Floor, 37-39, Jamaica Street, BS2 9JP	Not for profit/CIC etc Up to 100%
King George'S Field	King Georges Trust, Barracks Lane, BS11 9NG	Charitable Top up 20%
King George'S Field	Bowling Green, Barracks Lane, BS11 9NG	Charitable Top up 20%
King George'S Field	R/O 69, Avonmouth Road, BS11 9ND	Charitable Top up 20%
Kings Lawn Tennis Club	Kings Lawn Tennis Club, Kings Drive, Bishopston,BS7 8TQ	Charitable Top up 20%
Knowle And District Community Association	Knowle & District Community Centre, Crossways Road, BS4 2SP	Charitable Top up 20%
Knowle Bowling Club	Knowle Bowling Club, Wells Road, BS4 2QN	Charitable Top up 20%
Lockleaze Neighbourhood Trust	Unit 1, Fedden Buildings, Gainsborough Square, BS7 9FB	Charitable Top up 20%
Lockleaze Neighbourhood Trust	The Cameron Centre, Cameron Walk, BS7 9XB	Charitable Top up 20%
Maze Studios Cic	Unit 26, Barton Hill Trading Estate, Herapath Street, BS5 9RD	Not for profit/CIC etc Up to 100%
Maze Studios Cic	Nissen Hut No 3, Barton Hill Trading Estate, Herapath Street, BS5 9RD	Not for profit/CIC etc Up to 100%
Meadow Vale Community Association	Adj, 40, Meadow Vale, BS5 7RF	Charitable Top up 20%
Oasis Community Hub North Bristol	74, Ridingleaze, BS11 0QB	Charitable Top up 20%
Old Market Manor Cic	Old Market Manor, Barton Manor, BS2 0RL	Not for profit/CIC etc Up to 100%
Paper Artistic Development Cic	Unit 6,, York Court, Wilder Street, BS2 8QH	Not for profit/CIC etc Up to 100%
Pride Of Bristol Trust	3, Dock Cottages, Hotwells, BS1 6XL	Charitable Top up 20%
Puppet Place Trust Ltd	Unit 18, Albion Dockside Estate, Hanover Place, BS1 6UT	Charitable Top up 20%
Redcatch Community Association	Redcatch Community Centre, Redcatch Road, BS4 2EP	Charitable Top up 20%
Redfield Leisure Centre	Hall Adj, 163, Church Road, Redfield, BS5 9HG	Not for profit/CIC etc Up to 100%
Redfield Leisure Centre	Sports Ground Adj, 163a, Church Road, Redfield, BS5 9HG	Not for profit/CIC etc Up to 100%
Redland Green Bowling Club	Redland Green Bowling Club, Redland Green Road, BS6 7HE	Charitable Top up 20%
Sea Mills Community Association	Sea Mills Community Assoc, Sunny Hill, BS9 2NQ	Charitable Top up 20%
Sea Mills Community Initiatives	Cafe On The Square, Shirehampton Road, BS9 2DY	Charitable Top up 20%
Sevenside Sub-Aqua Club	Sevenside Sub Aqua Club, Old Stable Block, Underfall Yard, Avon Crescent, BS1 6XQ	Charitable Top up 20%
Shirehampton Public Hall Community Association	Public Hall At, 32, Station Road, Shirehampton, BS11 9TX	Charitable Top up 20%
Shiro Kwaido Judo Club	Hengrove Community Hall, Fortfield Road, BS14 9NX	Not for profit/CIC etc Up to 100%
Southmead Community Association	Southmead Community Association, Greystoke Avenue, BS10 6BQ	Charitable Top up 20%
Southmead Community Association	The Meeting Rooms, Greystoke Avenue, BS10 6BA	Charitable Top up 20%
St George Community Association Ltd	St George Community Centre, Church Road, St George, BS5 8AA	Charitable Top up 20%
The Association Of Affordable Art Space	Units 4-6, Lynwood Road, BS3 3HH	Not for profit/CIC etc Up to 100%
The Association Of Affordable Art Space	Unit B At Unit 1, 56, Winterstoke Road, BS3 2NP	Not for profit/CIC etc Up to 100%
The Association Of Affordable Art Space	Unit C At Unit 1, 56, Winterstoke Road, BS3 2NP	Not for profit/CIC etc Up to 100%
The Association Of Affordable Art Space	Unit A At Unit 1, 56, Winterstoke Road, BS3 2NP	Not for profit/CIC etc Up to 100%
The Association Of Affordable Art Space	1st Flr, Unit 1, 56, Winterstoke Road, BS3 2NP	Not for profit/CIC etc Up to 100%
The Association Of Affordable Art Space	Unit D At Unit 1, 56, Winterstoke Road, BS3 2NP	Not for profit/CIC etc Up to 100%
The Association Of Affordable Art Space	Garage, 56, Winterstoke Road, BS3 2NP	Not for profit/CIC etc Up to 100%
The Guide Association Bristol West Division	Girlguiding, St Marys Road, Shirehampton, BS11 9RN	Charitable Top up 20%
The Underfall Yard Trust	Underfall Restoration Trust, Underfall Yard, Avon Crescent, BS1 6XQ	Charitable Top up 20%
The Underfall Yard Trust	Former Nova Marina, Underfall Yard, Avon Crescent, BS1 6XQ	Charitable Top up 20%
Transitions Skate Cic	Transitions Skate Cic Campus Pool, Whitchurch Road, BS13 7RW	Not for profit/CIC etc Up to 100%
Trustees Bristol Muslim Cultural Society	35, Mivart Street, BS5 6JF	Charitable Top up 20%
Western Service Office	Rooms 1 & 2, 1st Floor, Market Chambers, St Nicholas Street, BS1 1UB	Charitable Top up 20%
Whitchurch Under 5s Play Group	1, School Close, BS14 0DU	Charitable Top up 20%
Windmill Hill Community Association	Windmill Hill Community Association, Vivian Street, BS3 4LW	Charitable Top up 20%

<b>Title: 2017/18 Budget Monitoring report – Period 9</b>	
<b>Ward(s):</b>	All
<b>Author: Chris Holme</b>	<b>Job title: Acting Director, Finance</b>
<b>Cabinet lead: Councillor Cheney</b>	<b>Director lead: Denise Murray</b>
<b>Proposal origin: Other</b>	
<b>Decision maker: Cabinet Member</b> <b>Decision forum: Cabinet</b>	
<b>Timescales:</b> Regular monthly budget monitoring report to Cabinet.	
<b>Purpose of Report:</b> Effective budgetary monitoring and control.	
<b>Evidence Base:</b> Forecast outturn based on budget managers' monthly monitoring.	
<b>Cabinet Member / Officer Recommendations:</b> <b>Cabinet to note:</b> <ul style="list-style-type: none"> <li>the current forecast revenue underspend at period 9 of (£0.4m)</li> <li>a number of supplementary estimates, which total £3.809m for the People Directorate, as per the schedule detailed in this report, effected by way of a one-off virement from other General Fund services</li> <li>progress against planned savings and further mitigation</li> <li>forecast capital expenditure of £147.7m, £87.9m below the budgeted capital programme for 2017/18.</li> </ul>	

<b>Revenue Cost: £364.7m</b>	<b>Source of Revenue Funding:</b> Total approved revenue budget
<b>Capital Cost: £235.6m</b>	<b>Source of Capital Funding:</b> Total capital programme
<b>One off cost</b> <input type="checkbox"/> <b>Ongoing cost</b> <input checked="" type="checkbox"/>	<b>Saving Proposal</b> <input type="checkbox"/> <b>Income generation proposal</b> <input type="checkbox"/>
<b>Finance Advice:</b> The resource and financial implications are set out in the report.	
<b>Finance Business Partner:</b> Chris Holme 13/12/17	

<b>Corporate Strategy alignment:</b> Cross priority report that covers whole of Council's business.
<b>Legal Advice:</b> This monitoring report is an important component in assisting the Council to comply with its legal obligation to deliver a balanced budget.
<b>Legal Team Leader:</b> Nancy Rollason 26.02.2018
<b>Implications on ICT:</b> N/A
<b>ICT Team Leader:</b> Ian Gale 21/12/17
<b>City Benefits:</b> Cross priority report that covers whole of Council's business.
<b>Consultation Details:</b> N/A

<b>DLT Sign-off</b>	Denise Murray	24/01/18
<b>SLT Sign-off</b>	Denise Murray	30/01/18
<b>Cabinet Member sign-off</b>	Councillor Cheney	05/02/18

Appendix A – Further essential background / detail on the proposal	<b>YES</b>
Appendix B – Details of consultation carried out - internal and external	<b>NO</b>

Appendix C – Summary of any engagement with scrutiny	<b>NO</b>
Appendix D – Risk assessment	<b>NO</b>
Appendix E – Equalities screening / impact assessment of proposal -	<b>NO</b>
Appendix F – Eco-impact screening/ impact assessment of proposal -	<b>NO</b>
Appendix G – Financial Advice	<b>NO</b>
Appendix H – Legal Advice	<b>NO</b>
Appendix I – Combined Background papers	<b>NO</b>
Appendix J – Exempt Information	<b>NO</b>

<b>Heading: 2017/18 Budget Monitoring Report - Period 9</b>	
<b>Ward: All</b>	
<b>Author: Chris Holme</b>	<b>Job title: Director of Finance</b>
<b>Officer presenting report: Chris Holme</b>	
<b>Level of Decision: Key Decision</b>	
<b>Purpose of Report</b>	
<p>This report sets out for Mayor and Cabinet an update of the Council's financial position as at the end of December 2017 (period 9), including:</p> <ul style="list-style-type: none"> <li>• Projections of potential revenue and capital spending during 2017/18 against approved Directorate and ring-fenced budget allocations</li> <li>• Progress on agreed savings and confidence of delivery</li> <li>• Reviews of risks and the mitigating actions being undertaken to ensure that we do not overspend against our 2017/18 budgets</li> </ul> <p>The report also seeks Cabinet approval to effect a number supplementary estimates, across the former People functions area, relating to both Adults and Children's Services, to be funded primarily as one off virements from funds held in abeyance across other services.</p>	
<b>Background</b>	
<p>The General Fund revenue forecast outturn (as provided in Appendix A) shows a potential underspend of (£0.4m) (0.1%) against an approved budget of £364.7m, which is an improvement of (£1.3m) from the P7 forecast.</p> <p>The position for the ring fenced budgets is as follows: Dedicated School Grant (DSG) – an overspend of £5.3m an increase of £0.2m from the P7 forecast position, Housing Revenue Account (HRA) – a increase in forecast underspend of (£0.4m) since P7, and Public Health, (PH), (£0.1m) increase in forecast underspend from the P7 forecast.</p> <p>The forecast spend against the capital budget of £235.5m is £147.7m hence an underspend of £87.9m which is an additional £31.2m slippage compared to P7.</p> <p>Progress against 2017/18 savings propositions indicate £3.1m remain at risk, as per the P7 position.</p> <p>Further details are shown in the appendices which highlight areas of concern compiled using forecast information as at P9.</p>	
<b>Revenue Forecast</b>	
<p>The latest revenue forecast outturn (as provided in Appendix A) shows a potential underspend of (£0.4m) (0.1%) against an approved budget of £364.7m.</p> <p>The overall forecast outturn position has improved by (£1.3m) since the P7 forecast outturn position due to the allocation of further improved Better Care funding. There are also some small movements in the forecasts across the directorates as follows: People – reduced by (£0.2m) mainly due to an improved forecast on Children's Social Care, Place – increase of £0.1m due to Energy and Economy partially offset by (£0.2m) on miscellaneous property savings and budget transfer in respect of City Point prudential borrowing, Neighbourhoods – reduced by (£0.1m) due to additional Housing Benefit income, Resources – increase of £1m due to Legal Services requirement to retaining agency lawyers and revised expenditure</p>	



forecasts for ICT and Executive office.

Property continues to show a forecast overspend of £2.1m, with no further mitigating actions identified and will be subject to further budget scrutiny, though this has reduced from £2.8m in P7.

During 2017/18 services have been operating cash limited budgets. This requires services to take all appropriate action to contain net expenditure within budget approvals and in circumstances where further mitigating action is not possible services are required to seek a supplementary estimate from Cabinet.

People Directorate, in spite of additional resource being applied as part of the budget setting process for 2017/18, and allocation of the improved Better Care Fund, has been unable to contain their expenditure within budget approvals. This is through a combination of historic pressures not having been fully addressed with the additional budgets for 2017/18, slippage on agreed savings proposals and a continued high level of demand, particularly for adults and children's social care. The 2018/19 budget for these services acknowledges the need to have a system-wide approach to the three main service areas: adults social care, children's social care and education.

During 2017/18 the reported budget position reached a peak at the end of Period 3 when an overspend of £7.4m was forecast. Mitigating actions have been taken by the service, much of which has involved the application of the Improved Better Care Fund (i-BCF) a government grant received to address the longer term demand pressures within adults social care. The reported position for Period 9 is a forecast overspend of £3.8m and it is this level of overspend, for which a supplementary estimate is sought. The components of this are explained in the People Dashboard in Appendix B and in the table below.

<b>Service within People</b>	<b>Supplementary Estimate Requested £'000</b>	<b>Comment</b>
Strategic Commissioning & Commercial Relations	70	This service was operating within budget, but most of the cost-centres moved to Adults. It is only the Head of Procurement cost-centre which remains here with a shortfall on income.
–Preparing for Adulthood	708	The pressures within Adults Social Care have been absorbed by the use of the i-BCF, leaving a pressure within the Preparing for Adulthood Team of £1.7m, offset by underspends in some commissioning (-£0.4m) and early intervention (-£0.6m) budgets that have transferred because of the restructuring of the Council.
Residential Placements – Working Age Adults	783	There are significant pressures on demand and cost of residential placements for working age adults particularly for mental health support. This pressure is following application of part of the improved Better Card Fund in this area.

Residential Placements – Older Adults	919	There are significant pressures on demand and cost of residential placements for older adults particularly for physical support. This pressure is following application of part of the improved Better Card Fund in this area.
Care & Support – Children & Families	488	Principally, this pressure is in the cost of children’s social care placements.
Education & Skills	783	Education and Skills are reporting a £0.8m pressure, comprising £0.4m for Early Years, a lower than planned surplus for Trading with Schools of £0.3m and a shortfall in delivery of savings on home to school transport of £0.1m
Management - People	58	Some residual cost-centres which will mostly be transferred to Education to reflect the restructuring of the Council with a net pressure of £58k.
<b>Total</b>	<b>3,809</b>	

The additional costs will be financed from funds held in abeyance and underspends identified elsewhere in the monitoring report, as Follows;

To be financed from	£000
Corporate Revenue Resourcing	274
2017/18 One-off Virements from the following budget areas	
Corporate Costs	1000
HR & Workplace	851
Finance	370
Policy, Strategy and Communications	225
Neighbourhoods & Communities	100
Housing Options	600
Public Health (General Fund)	389
<b>Total</b>	<b>3809</b>

These recommended adjustments are one-off, for the current year only. Approval of the supplementary estimates will enable additional spend pressures, as forecast during the year, to be contained with revised directorate expenditure limits.

#### Housing Revenue Account

The forecast HRA position is (£8.9m) underspend as at P9 as a result of reduced Planned Programme spend – the increased surplus is due to the slippage on the capital programme and subsequent reduction in capital financing, which is primarily funded by revenue. There is also an expected draw down from reserves of £1.9m to offset the costs of implementing the replacement housing management system.

#### **Dedicated Schools Grant £.0 net nil**

Whilst a balanced position is currently forecast a number of pressures are emerging if not successfully managed could have an impact on the Council's General Fund.

The current risks, before mitigations total £5.3m, which includes £1.6m cumulative deficit brought forward, as per the P7 forecast position. The main pressures are in High Needs Budgets (Special Educational Needs, Alternative Learning Provision and Specialist Support), offset by some underspends, mainly in funds set aside for growing schools. An action plan to address the underlying pressures in High Needs is in development, which will include measures to reduce costs in alternative learning placements and top up allocations in particular though significant savings may not be realised until 2018/19.

#### **Public Health £.0 net nil**

There is a forecast underspend of (£0.6m) on Public Health. This has moved by (£0.1m) from the P7 forecast due to forecast savings on GP contracts in relation to health checks.

#### **Capital Spending**

The revised capital allocation is £235.6m for 2017/18. Capital spending in year is forecast to be £147.7m, resulting in a forecast slippage of £87.9m attributed primarily to:

- Transport (£18.5m),
- Bristol Arena / Temple Meads East Regeneration (£14.4m),
- Energy (£10.3m),
- The HRA (£7.8m),
- Strategic Property (£6.7m),
- General Funded Housing Delivery (£5.2m),
- School Organisation / Children's Services (£4.0m),
- and ICT Strategy Development and Refresh Programme (£4.0m).

The forecast slippage of £87.9m is an increase of £31.2m from P7. The main areas that have changed are as follows:

- Bristol Arena / Temple Meads East Regeneration (£4.0m),
- General Funded Housing Delivery (£3.8m),
- Transport (£8.9m), (Cycling City Ambition grant, Local Enterprise Zone and Strategic City Transport),
- Strategic Property (£2.0m).
- Energy (£0.8m),
- and Corporate contingencies (£5.7m).

Major areas of current pressure or risks in the five year capital programme have been identified as Metrobus, Bristol Arena, and Colston Hall. The funding of the capital programme and reassessment of priorities is currently under review, to be reported to Council as part of the budget process and capital strategy development.

#### **Progress against Savings / Efficiency propositions**

Of the agreed 2017/18 savings of £33.1m, £3.1m (9%) are currently deemed at risk to delivery as per P7. This position is included in the forecast outturn where appropriate or outlined on the risk and opportunities

where mitigations are being explored.

Work is underway to develop plans for future years and early indication for 2018/19 is that of the £29.7m noted in the budget, £2.6m has a plan that is considered under developed for this stage in the process.

### **Risk and Opportunities Implications**

A range of risks and opportunities are being reviewed within Directorate Leadership Teams and new governance provides the opportunity to manage these risks in a more fundamental and sustainable way. Regular reporting and Budget Scrutiny through officer and Member groups are helping to ensure the necessary actions to address spending pressures are identified and implemented; and supplementary estimates only recommended when all other options have been explored.

### **Reserves**

The 2017/18 opening balance on reserves of £20.0m general balance, £65.4m earmarked reserve (£20.0m and £106m 2016/17 respectively). Projected net drawdowns for the current year are now anticipated to be some £12m with a further £12m net drawdown currently estimated for 2018/19, as reflected in the budget report as agreed by Full Council on the 20<sup>th</sup> February, following detailed review of all earmarked reserves.

### **Debt Management**

The level of aged debt that has been outstanding for 30 days or more has increased from £28.6m in P7 to £31.8m in P9, an increase of £3.2m which is largely due to PFI charges of £2.6m to three schools and a single invoice of £2.6m to a supplier for place capital work for which a final reminder has been issued. Appendix A provides an analysis of this debt between departments, and client types as at P9.

### **Recommendation(s)**

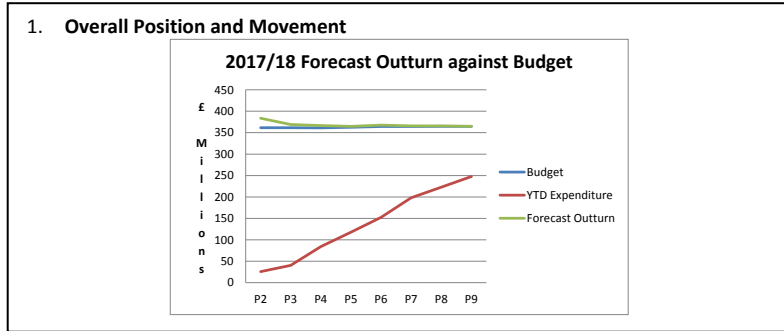
- That Cabinet notes the extent of forecast revenue underspend at period 9 of (£0.4m)
- That Cabinet approves a number of supplementary estimates, which total £3.809m for the People Directorate, as per the schedule detailed in this report, effected by way of a one-off virement from other General Fund services.
- That Cabinet note current forecast capital expenditure of £147.7m, which is £87.9m below the budgeted capital programme for the year.

<b>Appendices:</b>
Appendix A – Council Summary
Appendix B – People Summary
Appendix C – Place Summary
Appendix D - Neighbourhoods Summary
Appendix E - Resources Summary
Appendix F - HRA Summary
Appendix G – DSG Summary
Appendix H – Public Health Summary
Appendix I – Budget Monitor Summary

a: 2017/18 Summary Headlines

<b>Revised Budget</b> £364.7m in P7 P9 <b>£364.7m</b> ⇒	<b>Forecast Outturn</b> £365.6m in P7 <b>£364.3m</b> ↓	<b>Outturn Variance</b> £0.9m in P7 <b>(£0.4m)</b> ↓↓	<b>Movement from P7</b> <b>(£1.3m)</b>
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b: Budget Monitor

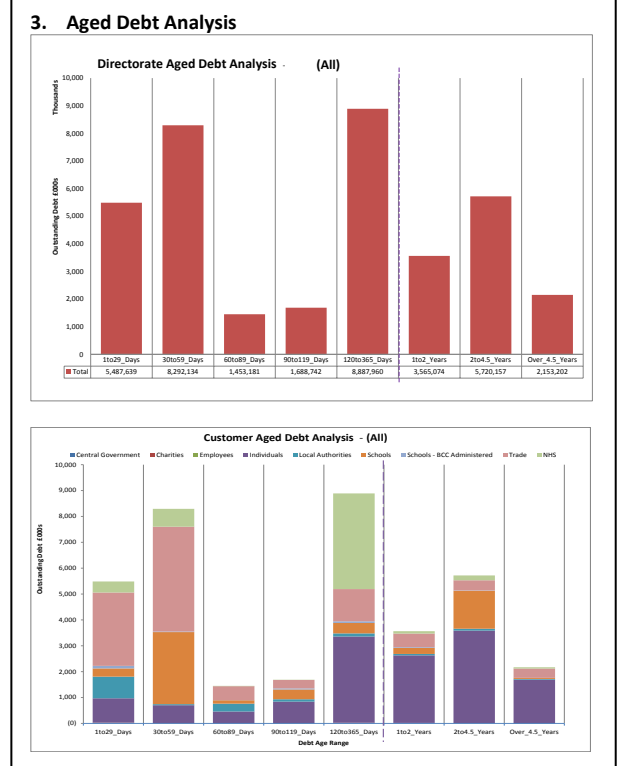


2. Revenue Position by Division

Budget Area	P9 Over/ (under) spend £m	P7 Over/ (under) spend £m	Movement in forecast since P7
People	3.8	6.0	(2.2)
Place	(0.5)	(0.3)	(0.2)
Neighbourhoods	(1.0)	(0.9)	(0.1)
Resources & City Director	(1.3)	(2.3)	1.0
Corporate	(1.3)	(1.7)	0.4
<b>Total</b>	<b>(0.4)</b>	<b>0.9</b>	<b>(1.3)</b>

Key messages

- The overall forecast outturn for 2017/18 is (£0.4m) underspend which has improved by (£1.3m) since P7.
- The improved forecast for People is largely due to the allocation of additional improved Better Care funding.
- For Place the forecast has improved due to miscellaneous Property savings.
- The movement in Corporate expenditure is due to an increased income budget.
- The forecast for Neighbourhoods has improved by (£0.1m) due in part to increased income from Housing Benefit.
- The overall level of aged debt that has been outstanding for over 30 days has increased from £28.6m in P7 to £31.8m in P9. This is largely due to £2.6m PFI charges to three schools. There is also a £2.6m invoice to a supplier for Place capital work which has not yet been paid and a final reminder has been sent.



c: Risks and Opportunities

4. Savings Delivery RAG Status

17/18	Total value of savings (£m)	Value at risk (£m)	Risk (%)
A No savings are at risk	6.4	2.1	48%
B Yes savings are safe	12.2	0.6	5%
C Saving has been secured and agreed	13.6	0.0	0%
<b>Grand Total</b>	<b>32.2</b>	<b>2.7</b>	<b>15%</b>

Top 5 largest savings at risk in 17/18 (ordered by size of saving at risk)

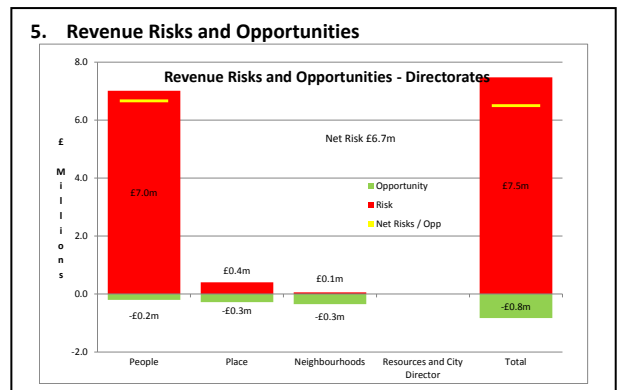
ID - Name of Proposal	Value at Risk in 17/18 (£'000s)
0704 Reconnect community support services	1,360
BE2 Review our property services	795
0720 increase council foster care	360
PP28 More efficient home to school travel	221
0722 increase supported housing provision	198
0728 More efficient home to school travel	221

18/19	Total value of savings (£m)	Value at risk (£m)	Risk (%)
A No savings in plan	3.7	1.6	70%
B Yes - plan in place but still to deliver	15.3	0.8	5%
C Yes - savings can be taken from budget	10.7	0.0	0%
<b>Grand Total</b>	<b>29.7</b>	<b>2.4</b>	<b>12%</b>

Top 5 largest savings at risk in 17/18 (ordered by size of saving at risk)

ID - Name of Proposal	Value at Risk in 17/18 (£'000s)
0704 Reconnect community support services	746
PP28 Reduced education services grant	497
BE2 Review our property services	360
BE3 Restructure admin and business support teams	316
BE1 - 10 Restructure support teams	274



## Key Messages

- The savings tracker shows that £3.1m of savings are at risks of not being delivered in 2017/18, which is as per the P7 position.
- There are additional risks of £7.5m identified across the Council which are not reflected in the forecast outturn. The main risks are the Clinical Commissioning Group turnaround plans £3m, not achieving Care and Support Adults savings of £2.6m, partly due to high prices of care costs, and the costs associated with reshaping the provision of Children Centre services.
- The amount of opportunities that have been identified as potential mitigating actions has reduced to £0.8m and comprises potential use of flexible homelessness support grant and reserves.
- The overall net risk not included in the 2017/18 forecast outturn is £6.7m which is £4.6m higher than in P7 – this is due to the risks in Care and Support Adults as detailed above.

## d: Capital

<b>Revised Budget</b> <b>£235.6m</b>	<b>Expenditure to Date</b> <b>£75.8m</b> 32% of budget	<b>Forecast Outturn</b> <b>£147.7m</b> 63% of budget	<b>Outturn Variance</b> <b>(£87.9m)</b>
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## Key Messages

- The level of projected slippage on capital has increased by a further (£31.2m) since P7.
- This is largely due to reduced forecast expenditure for 2017/18 in Place of (£20.0m) based on the rephrasing of expenditure to later years for Bristol Arena and Temple Meads East regeneration £4.4m, Transport including RiF funded Local Enterprise Zone £8.9m and £4.3m on Housing Delivery programme.
- Further details are provided in the Directorate dashboards.

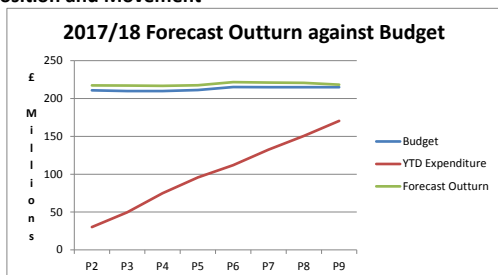
Gross expenditure by Programme	Budget	Expenditure to Date	Forecast	Variance	Expenditure to date		Budget	Total Expenditure to Date	Commitments	Variance - Total budget vs actual + commitments	Forecast (including prior years actuals)	Variance Total scheme budget vs total scheme forecast	Expenditure to date		
					Expenditure to date	Forecast							Expenditure to date	Expenditure + Committed to date	Forecast
	£000s				%		£000s						%		
People	34,700	13,910	28,944	(5,756)	40%	83%	195,662	48,305	3,149	(144,208)	146,908	(48,754)	25%	26%	75%
Resources	6,926	792	3,060	(3,866)	11%	44%	33,717	12,782	967	(19,967)	33,601	(116)	38%	41%	100%
Neighbourhoods	11,431	2,515	7,341	(4,090)	22%	64%	39,015	10,695	943	(27,377)	37,849	(1,166)	27%	30%	97%
Place	132,095	40,724	74,125	(57,970)	31%	56%	568,135	116,139	25,528	(426,468)	581,755	13,620	20%	25%	102%
Neighbourhoods (HRA)	42,076	17,817	34,238	(7,837)	42%	81%	270,544	66,585	5,214	(198,745)	262,707	(7,837)	25%	27%	97%
Corporate Funding & Expenditure	8,336	0	0	(8,336)	0%	0%	55,481	5,145	0	(50,336)	48,850	(6,631)	9%	9%	88%
<b>Total Capital Expenditure</b>	<b>235,564</b>	<b>75,757</b>	<b>147,709</b>	<b>(87,855)</b>	<b>32%</b>	<b>63%</b>	<b>1,162,554</b>	<b>259,652</b>	<b>35,801</b>	<b>(867,101)</b>	<b>1,111,670</b>	<b>(50,884)</b>	<b>22%</b>	<b>25%</b>	<b>96%</b>

**a: 2017/18 Summary Headlines**

<b>Revised Budget</b> £214.8m in P7 P9 <b>£214.8m</b> ⇒	<b>Forecast Outturn</b> £220.8m in P7 <b>£218.6m</b> ↓	<b>Outturn Variance</b> £6.0m in P7 <b>£3.8m</b> ↓	<b>Movement from P7</b> <b>(£2.2m)</b>
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**b: Budget Monitor**

**1. Overall Position and Movement**



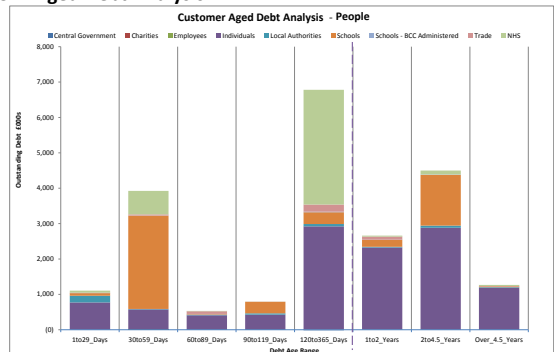
**2. Revenue Position by Division**

Budget Area	P9 Over/ (under) spend £m	P7 Over/ (under) spend £m	Movement in forecast since P7
Care & Support - Adults	2.4	4.0	(1.6)
Education & Skills	0.8	0.7	0.1
Care & Support – Children & Families	0.5	0.9	(0.4)
Strategic Commissioning & Commercial Relations	0.1	(0.3)	0.4
Management - People	0.1	0.1	(0.0)
Early Intervention & Targeted Support	0.0	0.6	(0.6)
<b>Total</b>	<b>3.8</b>	<b>6.0</b>	<b>(2.2)</b>

**Key messages**

- The overall forecast position has improved by (£2.2m) since P7 mainly due to the application of further improved Better Care funding. There are other movements in the individual variances between P7 and P9 due to the reallocation of the Strategic Commissioning and Early Intervention Divisions to Adults, Children and Education.
- Adults** overspend of £2.4m is a decrease of (£1.6m), due to allocation of Better Care fund income. There is also a £0.7m increase in Preparing for Adulthood recognising that the at-risk savings are unlikely to be delivered.
- Strategic Commissioning** is showing an overspend of £0.1m, but this has arisen through the realignment of cost-centres (mainly to Adults) to match the new management structures.
- The Directorate will seek a supplementary estimate of £3.8m in order to remain within its budget.

**3. Aged Debt Analysis**



**c: Risks and Opportunities**

**4. Savings Delivery RAG Status**

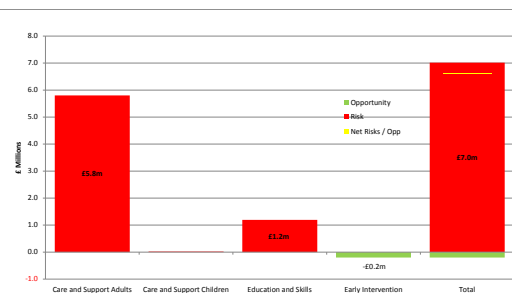
17/18	Total value of savings (£m)	Value at risk (£m)	Risk (%)
R No-savings are at risk	3.9	2.3	60%
G Yes-savings are safe	7.9	0.0	0%
G Savings has been secured and delivered	0.2	0.0	0%
<b>Grand Total</b>	<b>11.9</b>	<b>2.3</b>	<b>19%</b>

ID - Name of Proposal	Value at Risk in 17/18 (£'000s)
FP04 Re-commission community support services	1,350
FP10 Increase council foster carers	360
FP18 More efficient home to school travel	225
FP22 Increase supported living provision	198
BB8 Best value contracts	105

18/19	Total value of savings (£m)	Value at risk (£m)	Risk (%)
R No-plan in place	0.9	0.9	100%
A Yes-plan in place but still to deliver	3.8	0.0	0%
G Yes-savings can be taken from budget	2.5	0.0	0%
<b>Grand Total</b>	<b>7.2</b>	<b>0.9</b>	<b>12%</b>

ID - Name of Proposal	Value at Risk in 17/18 (£'000s)
FP05 Reduced education services grant	497
BB3-g Restructure admin and business support teams	360

**5. Revenue Risks and Opportunities**



**6. Mitigating Actions**

In the medium-term, the services within People will converge into three divisions and the underlying budget issues will be addressed in the following ways

Division	Approach
<b>Adults Social Care</b>	Implementation of three-tier model for care and support through the Better Lives programme, working with partners to invest the Improved Better Care fund to address demand pressures and to deliver savings to the Council's budget.
<b>Children's Services</b>	Implementation of the Strengthening Families programme using early investment to support families, to improve social work practice and get better outcomes for young people, all to address existing pressures and to deliver savings to the Council's budget.
<b>Education</b>	A bottom-up service redesign for Education, recognising the lower level of funding available with the loss of the Education Services Grant, but using DSG and other funding streams to best effect in meeting statutory responsibilities and local service aspirations.

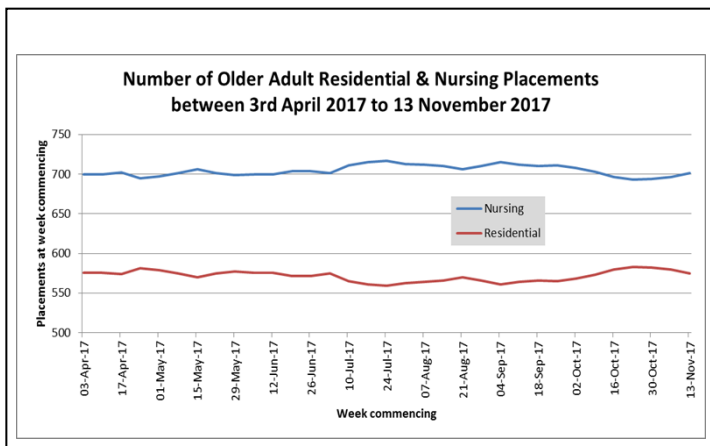
## d: Capital

<b>Revised Budget</b> <b>£34.7m</b>	<b>Expenditure to Date</b> <b>£13.9m</b> 40% of budget	<b>Forecast Outturn</b> <b>£28.9m</b> 83% of budget	<b>Outturn Variance</b> <b>(£5.8m)</b>
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### Key Messages

- Since P7 there is a further £0.9m slippage forecast.

## e: Key Activity Data



### Comparison of Placement Prices

	LAS DATA		2016/17 SALT RETURN (TABLE 41)				
	Bristol – avg weekly price of current service users who were placed post DPS	Bristol – avg weekly price of current service users who were placed prior to DPS	Bristol Average Weekly Price 16/17	Core City Average Weekly Price 16/17	SW Average Weekly Price 16/17	London average Weekly price 16/17	England Average Weekly Price 16/17
OP Nursing non dementia	843	810	744	646	592	685	641
OP Nursing dementia	900	870	784	645	773	735	623
OP Residential – non dementia	890	699	765	553	670	760	642
OP residential – dementia	759	676	779	485	715	724	550
Younger adults residential	1,593	1,325	1,171	831	952	1,120	991

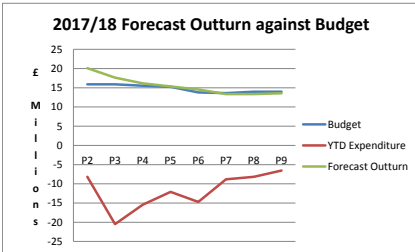


a: 2017/18 Summary Headlines

<b>Revised Budget</b> £13.6m in P7 P9 <b>£14.0m</b> ↑	<b>Forecast Outturn</b> £13.3m in P7 <b>£13.5m</b> ↑	<b>Outturn Variance</b> (£0.3m) in P7 <b>(£0.5m)</b> ↑	<b>Movement from P7</b> <b>(£0.2m)</b>
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b: Budget Monitor

1. Overall Position and Movement



Note YTD Expenditure is net of income received.

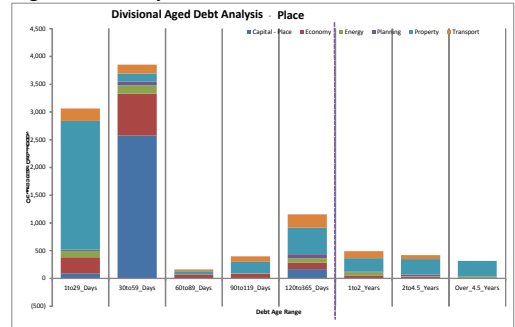
2. Revenue Position by Division

Budget Area	P9 Over/ (under) spend £m	P7 Over/ (under) spend £m	Movement in forecast since P7
Property	2.1	2.8	(0.7)
Economy	(0.4)	(0.7)	0.3
Energy	(0.6)	(0.9)	0.4
Planning	(0.6)	(0.6)	0.0
Transport	(1.1)	(0.8)	(0.3)
<b>Total</b>	<b>(0.5)</b>	<b>(0.3)</b>	<b>(0.2)</b>

Key messages

- Place Directorate is forecasting an improved outturn position of an underspend of (£0.5m) which is a movement of (£0.2m) since P7. The base budget has also been increased by £0.4m.
- Property has a £2.1m forecast overspend position mainly due to underdelivered savings. Please also note the current forecast includes the capitalisation of c£0.3m one-off costs in relation to Park View early exit plan. These costs will be reviewed once the nature of the costs / funding are confirmed. This has been included as a risk under Risk & Opps.
- The adverse movement in Economy is due a realignment of salary and overhead cost recovery £0.5m to the corporate budget offset by a (£0.2m) favourable movement as a result of increases in forecast salary costs recharges to the Housing Delivery capital project.
- The (£0.3m) improvement under Transport relates to reductions in R&M costs for bus shelters and increased in capital salary recharges
- The majority of the aged debt is within property.

3. Aged Debt Analysis



c: Risks and Opportunities

4. Savings Delivery RAG Status

17/18	Total value of savings (£m)	Value at risk (£m)	Risk (%)
R No-savings are at risk	2.5	0.8	30%
G Yes-savings are safe	2.1	0.0	0%
C Savings has been secured and delivered	5.1	0.0	0%
<b>Grand Total</b>	<b>9.7</b>	<b>0.8</b>	<b>8%</b>

Top 5 largest savings at risk in 17/18 (ordered by size of saving at risk)

ID - Name of Proposal	Value at Risk in 17/18 (£'000s)
B02 Review our property services	750

18/19	Total value of savings (£m)	Value at risk (£m)	Risk (%)
R No-savings in place	0.3	0.3	100%
A Yes - plan in place but still to deliver	0.6	0.0	0%
G Yes-savings can be taken from budget	1.4	0.3	18%
<b>Grand Total</b>	<b>2.3</b>	<b>0.5</b>	<b>22%</b>

Top 5 largest savings at risk in 17/18 (ordered by size of saving at risk)

ID - Name of Proposal	Value at Risk in 17/18 (£'000s)
R002 Reduce road maintenance budgets	250

5. Revenue Risks and Opportunities



6. Mitigating Actions – Facilities Management

FM Cumulative Mitigations	2017/18 £	2018/19 £	2019/20 £
Stationery	22,250	22,500	22,500
Reduced Window Cleaning	2,250	4,500	4,500
R&M Spending Freeze	220,000		
Workwear/PPE Efficiencies	1,000	1,000	1,000
Fleet - Procurement		340,000	370,000
Post Efficiencies	22,172	22,172	22,172
M&E/Building F Tender		170,000	250,000
Print & Mail Outsourcing		112,500	150,000
Docks Restructure			250,000
Harbour Review (Income)			50,000
Markets Charter (Income)			35,000
Cleaning	29,750	60,000	60,000
Security	17,150	50,000	50,000
<b>Total</b>	<b>314,572</b>	<b>782,672</b>	<b>1,265,172</b>

Key Message

- Analysis of additional risks and opportunities for Place Directorate shows that the net risk for mitigation against the overall forecast underspend is £0.1m, which is not currently reflected in the forecast.

d: Capital

Revised Budget  
**£132.1m**

Expenditure to Date  
**£40.7m**  
31% of budget

Forecast Outturn  
**£74.1m**  
56% of budget

Outturn Variance  
**(£58.0m)**

Key Messages

- The forecast outturn for capital expenditure has reduced by £20.0m since period 7 due to further slippage or rephasing of projects.
- An additional £4.4m expenditure has been reprofiled to future years due to the current reviews under taking on the Bristol Arena & Temple Meads East Regeneration project.
- There has been a reduction in the forecast of (£8.9m) for Transport due to rephasing of RiF funded Local Enterprise Zone spend to future years.
- A number of the projects within the Housing Delivery programme are progressing at a slower pace than anticipated, (a movement of (£4.3m) in the forecast outturn), and as a result the budget for 2017/18 will be reprofiled at P10 to reflect a more realistic forecast outturn for this programme.

Capital Budget Monitor Report for period 201709 - Summary by Programme

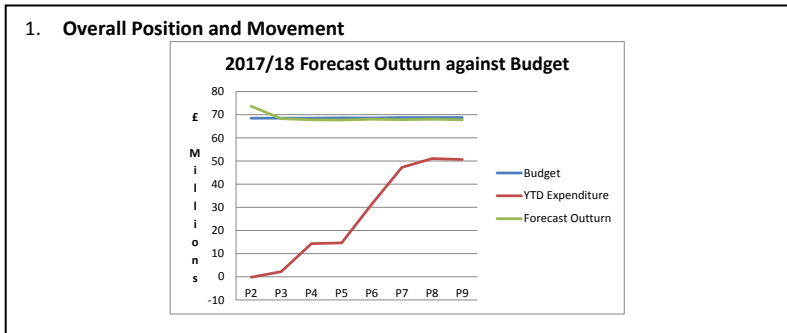
15/01/2018

Place	Current Year (FY2017)				Performance to budget		Scheme Total for Current Timeframe (FY2016 - FY2021)						Performance to budget			
	Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast	Budget	Total Expenditure to Date	Commitments	Variance - Total budget vs actual + commitments	Forecast (including prior years actuals)	Variance Total scheme budget vs total scheme forecast	Expenditure to date	Expenditure + Committed to date	Forecast	
	£000s				%		£000s						%			
<b>Gross expenditure by Programme</b>																
PL20 Strategic Property	1,901	725	1,975	74	38%	104%	7,022	4,477	316	(2,229)	8,361	1,339	64%	68%	119%	
PL21 Strategic Property - Essential H&S	1,600	45	509	(1,091)	3%	32%	11,600	45	11	(11,544)	11,570	(30)	0%	0%	100%	
PL22 Strategic Property - Investment in existing waste facilities	1,000	0	0	(1,000)	0%	0%	2,000	0	0	(2,000)	1,500	(500)	0%	0%	75%	
PL23 Strategic Property - Temple St	3,300	2,605	3,300	0	79%	100%	3,300	2,605	186	(509)	3,300	0	79%	85%	100%	
PL25 Strategic Property - Community Capacity Building	1,000	0	0	(1,000)	0%	0%	5,000	0	0	(5,000)	4,000	(1,000)	0%	0%	80%	
PL27 Strategic Property - vehicle replacement	3,700	0	0	(3,700)	0%	0%	8,400	0	0	(8,400)	6,077	(2,323)	0%	0%	72%	
<b>Total Property division</b>	<b>12,501</b>	<b>3,375</b>	<b>5,788</b>	<b>(6,718)</b>	<b>27%</b>	<b>46%</b>	<b>37,322</b>	<b>7,127</b>	<b>513</b>	<b>(29,682)</b>	<b>34,808</b>	<b>(2,514)</b>	<b>19%</b>	<b>20%</b>	<b>93%</b>	
PL11 Bristol Arena & Temple Meads East Regeneration	16,742	1,610	2,303	(14,439)	10%	14%	122,332	5,765	1,153	(115,414)	122,332	0	5%	6%	100%	
PL11A Cattle Market Road Development	2,277	566	1,826	(451)	25%	80%	11,250	566	262	(10,421)	11,190	(60)	5%	7%	99%	
PL12 Filwood Broadway	1,014	0	0	(1,014)	0%	0%	1,365	3	0	(1,363)	1,365	(0)	0%	0%	100%	
PL13 Filwood Green Business Park	1,014	0	952	(62)	0%	94%	1,494	480	12	(1,002)	1,432	(62)	32%	33%	96%	
PL16 Economy Development	495	253	490	(5)	51%	99%	818	576	0	(242)	931	113	70%	70%	114%	
PL17 Resilience Fund (£1m of the £10m Port Sale)	173	0	80	(93)	0%	46%	1,000	0	0	(1,000)	1,000	0	0%	0%	100%	
PL24 Colston Hall	4,557	1,316	4,557	0	29%	100%	48,800	2,643	879	(45,278)	48,800	0	5%	7%	100%	
PL26 Old Vic & St George's	1,200	600	1,200	0	50%	100%	1,548	600	0	(948)	1,548	0	39%	39%	100%	
PL28 Bottleyard Studios	671	337	671	0	50%	100%	700	366	0	(334)	700	0	52%	52%	100%	
PL29 Hengrove Park	0	0	0	0	0%	0%	15	15	0	(0)	15	(0)	100%	100%	100%	
PL30 Strategy and Commissioning	15,265	4,050	9,321	(5,944)	27%	61%	177,107	4,239	1,448	(171,420)	176,680	(428)	2%	3%	100%	
PL31 Kingswear & Torpoint Flats	381	0	0	(381)	0%	0%	722	340	0	(381)	722	(0)	47%	47%	100%	
<b>Total Economy division</b>	<b>28,525</b>	<b>4,682</b>	<b>12,079</b>	<b>(16,446)</b>	<b>16%</b>	<b>42%</b>	<b>190,233</b>	<b>11,543</b>	<b>2,306</b>	<b>(176,383)</b>	<b>190,223</b>	<b>(9)</b>	<b>6%</b>	<b>7%</b>	<b>100%</b>	
CD1 Bristol Futures	0	0	0	0	0%	0%	(65)	(65)	0	0	(65)	0	100%	100%	100%	
PL14 Planning & Sustainable Development	683	225	591	(92)	33%	87%	1,444	369	124	(952)	1,446	2	26%	34%	100%	
PL15 Planning & Sustainable Development - Environmental Improvement	0	0	0	0	0%	0%	450	0	0	(450)	350	(100)	0%	0%	78%	
<b>Total Planning division</b>	<b>683</b>	<b>225</b>	<b>591</b>	<b>(92)</b>	<b>33%</b>	<b>87%</b>	<b>1,829</b>	<b>304</b>	<b>124</b>	<b>(1,402)</b>	<b>1,731</b>	<b>(98)</b>	<b>17%</b>	<b>23%</b>	<b>95%</b>	
PL01 Metrobus	13,729	15,283	13,729	(0)	111%	100%	53,477	55,031	6,448	8,002	53,477	0	103%	115%	100%	
PL02 Passenger Transport	2,571	461	1,482	(1,090)	18%	58%	3,501	1,391	344	(1,766)	3,403	(98)	40%	50%	97%	
PL03 Residents Parking Schemes	559	410	694	135	73%	124%	2,177	2,028	218	68	3,527	1,350	93%	103%	162%	
PL04 Strategic City Transport	16,408	4,457	9,235	(7,173)	27%	56%	19,040	6,493	8,749	(3,798)	18,894	(146)	34%	80%	99%	
PL05 Sustainable Transport	16,022	3,131	10,202	(5,820)	20%	64%	29,998	12,014	2,704	(15,279)	30,429	431	40%	49%	101%	
PL06 Portway Park & Ride Rail Platform	1,100	0	0	(1,100)	0%	0%	1,100	0	0	(1,100)	1,100	0	0%	0%	100%	
PL07 Rail Stations Improvement Programme	800	0	0	(800)	0%	0%	1,600	0	0	(1,600)	1,600	0	0%	0%	100%	
PL08 Highways & Drainage Enhancements	3,694	20	1,202	(2,493)	1%	33%	6,591	2,917	234	(3,440)	6,608	17	44%	48%	100%	
PL09 Highways Infrastructure - Plimsole Bridge	300	0	100	(200)	0%	33%	300	0	0	(300)	8,400	8,100	0%	0%	2800%	
PL10 Highways & Traffic Infrastructure - General	6,786	4,041	6,866	80	60%	101%	16,590	10,346	1,743	(4,502)	23,537	6,947	62%	73%	142%	
<b>Total Transport division</b>	<b>61,970</b>	<b>27,802</b>	<b>43,509</b>	<b>(18,460)</b>	<b>45%</b>	<b>70%</b>	<b>134,375</b>	<b>90,220</b>	<b>20,441</b>	<b>(23,715)</b>	<b>150,976</b>	<b>16,601</b>	<b>67%</b>	<b>82%</b>	<b>112%</b>	
PL30 Strategy and Commissioning	15,265	4,050	9,321	(5,944)	27%	61%	176,918	4,050	1,448	(171,420)	176,490	(428)	2%	3%	100%	
<b>Total Housing Delivery division</b>	<b>15,265</b>	<b>4,050</b>	<b>9,321</b>	<b>(5,944)</b>	<b>27%</b>	<b>61%</b>	<b>176,918</b>	<b>4,050</b>	<b>1,448</b>	<b>(171,420)</b>	<b>176,490</b>	<b>(428)</b>	<b>2%</b>	<b>3%</b>	<b>100%</b>	
PL18 Energy services - Renewable energy investment scheme	11,151	589	2,841	(8,311)	5%	25%	13,458	2,895	696	(9,866)	13,526	68	22%	27%	101%	
PL19 Energy Services - workstream 2	2,000	0	0	(2,000)	0%	0%	14,000	0	0	(14,000)	14,000	0	0%	0%	100%	
<b>Total Energy division</b>	<b>13,151</b>	<b>589</b>	<b>2,841</b>	<b>(10,311)</b>	<b>4%</b>	<b>22%</b>	<b>27,458</b>	<b>2,895</b>	<b>696</b>	<b>(23,866)</b>	<b>27,526</b>	<b>68</b>	<b>11%</b>	<b>13%</b>	<b>100%</b>	
<b>Total Capital Expenditure</b>	<b>132,095</b>	<b>40,724</b>	<b>74,125</b>	<b>(57,970)</b>	<b>31%</b>	<b>56%</b>	<b>568,135</b>	<b>116,139</b>	<b>25,528</b>	<b>(426,468)</b>	<b>581,755</b>	<b>13,620</b>	<b>20%</b>	<b>25%</b>	<b>102%</b>	

**a: 2017/18 Summary Headlines**

<b>Revised Budget</b> £68.8m in P7	<b>Forecast Outturn</b> £67.9 in P7	<b>Outturn Variance</b> (£0.9m) in P7	<b>Movement from P7</b>
P9 <b>£68.8m</b> ⇒	<b>£67.8m</b> ↓	<b>(£1.0m)</b> ↓	<b>(£0.1m)</b>

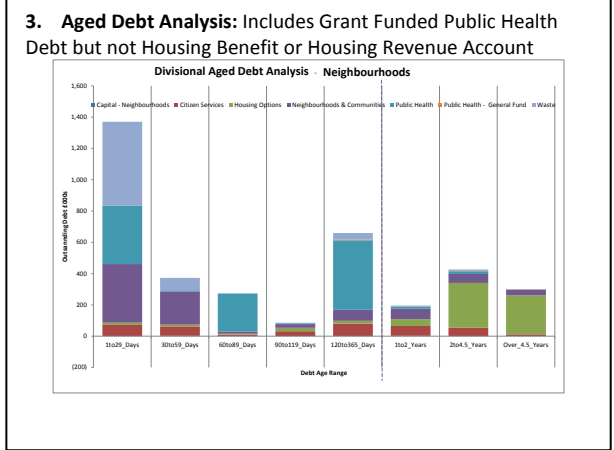
**b: Budget Monitor**



**2. Revenue Position by Division**

Budget Area	P9 Over/ (under) spend £m	P7 Over/ (under) spend £m	Movement in forecast since P7
Citizen Services	0.5	0.4	0.1
Women's Commission	0.0	0.0	0.0
Waste	0.0	0.0	0.0
Neighbourhoods & Communities	(0.2)	(0.1)	(0.1)
Public Health - General Fund	(0.4)	(0.4)	(0.0)
Housing Options	(0.9)	(0.7)	(0.2)
<b>Total</b>	<b>(1.0)</b>	<b>(0.9)</b>	<b>(0.1)</b>

- Key messages**
- **(£0.1m) increase in Forecast underspend** since P7 due to a number of low value movements which include an additional (£0.1m) Housing Benefit income. This negates the previously reported overspend on private sector temporary accommodation.
  - Regarding **Aged Debt management**, at the end of P9 Neighbourhoods had £3.7m of aged debt compared to £3.9m in P7. This fall is due to reductions in: Waste debtors by £0.2m reflecting a change in the reporting treatment of BWC income; and Public Health debtors (grant funded element) by £0.3m reflecting the recovery of one previously outstanding invoice.
  - **Savings Delivery** – negotiations have just concluded on the one initiative - Hengrove Leisure Centre Refinancing (FP26) – which is reported below as at risk for this year. An update on delivery of the saving will be reported for P10.
  - **Risks and Opportunities** – the position has been assessed as unchanged since P7.



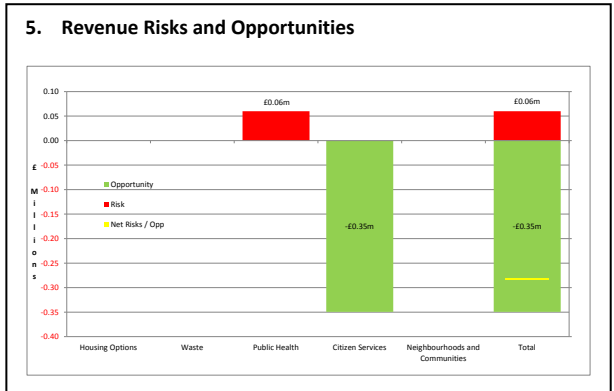
**c: Risks and Opportunities**

**4. Savings Delivery RAG Status**

17/18				18/19			
	Total value of savings (£m)	Value at risk (£m)	Risk (%)		Total value of savings (£m)	Value at risk (£m)	Risk (%)
R. No savings at risk	0.0	0.0	100%	R. No savings at risk	1.0	1.2	90%
G. No savings at risk	0.0	0.0	0%	A. No plan in place but still to deliver	3.3	0.3	7%
G. Savings have been secured and delivered	5.8	0.0	0%	G. No savings can be taken from budget	2.4	0.0	0%
<b>Grand Total</b>	<b>5.8</b>	<b>0.0</b>	<b>0%</b>	<b>Grand Total</b>	<b>7.1</b>	<b>1.4</b>	<b>20%</b>

Top 5 largest savings at risk in 17/18 (ordered by size of saving at risk)		Top 5 largest savings at risk in 18/19 (ordered by size of saving at risk)	
ID - Name of Proposal	Value at Risk in 17/18 (£'000s)	ID - Name of Proposal	Value at Risk in 17/18 (£'000s)
FP26 Hengrove Leisure Centre refinancing	12	RS04 Reduce the number of library buildings and redesign the service	740
		FP14 - 1 In-house enforcement	347
		FP11 Single city-wide Information, Advice and Guidance Service	250



## d: Capital

<b>Revised Budget</b> <b>£11.4m</b>	<b>Expenditure to Date</b> <b>£2.5m</b> 22% of budget	<b>Forecast Outturn</b> <b>£7.3m</b> 64% of budget	<b>Outturn Variance</b> <b>(£4.1m)</b>
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### Key Messages

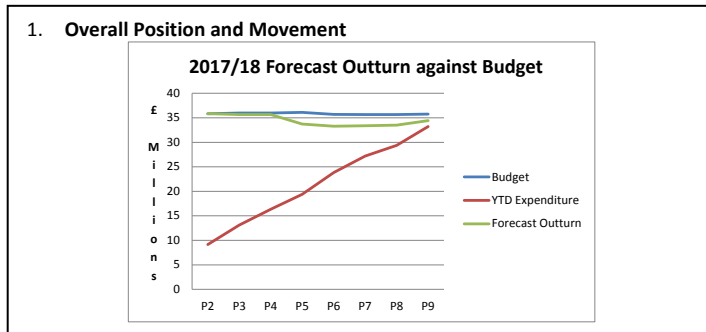
- The forecast underspend for capital expenditure has increased by (£1.8m) since period 7 due to further rephasing of projects into future years .

Gross expenditure by Programme	Current Year (FY2017)				Performance to budget		Scheme Total for Current Timeframe (FY2016 : FY2021)					Performance to budget				
	Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast	Budget	Total Expenditure to Date	Commitments	Variance - Total budget vs actual + commitments	Forecast (including prior years actuals)	Variance Total scheme budget vs total scheme forecast	Expenditure to date	Expenditure + Committed to date	Forecast	
	£000s				%		£000s					%				
<b>Neighbourhoods</b>																
NH01	Libraries for the Future	293	113	154	(139)	39%	53%	906	476	20	(410)	906	0	53%	55%	100%
NH02	Investment in parks and green spaces	2,639	284	958	(1,681)	11%	36%	4,654	1,416	77	(3,162)	4,564	(90)	30%	32%	98%
NH03	Cemeteries & Crematoria	500	0	0	(500)	0%	0%	1,000	0	0	(1,000)	1,000	0	0%	0%	100%
NH04	Third Household Waste Recycling and Re-use Centre	200	0	0	(200)	0%	0%	4,000	0	0	(4,000)	4,000	0	0%	0%	100%
NH05	Sports provision	300	0	0	(300)	0%	0%	4,500	0	0	(4,500)	4,500	0	0%	0%	100%
NH06	Bristol Operations Centre	3,689	1,111	3,235	(454)	30%	88%	7,816	5,238	816	(1,762)	7,362	(454)	67%	77%	94%
NH07	Housing Solutions	3,167	900	2,615	(552)	28%	83%	15,495	3,458	20	(12,017)	14,773	(722)	22%	22%	95%
NH08	Omni Channel Contact Centre (ICT System development)	644	108	279	(365)	17%	43%	644	108	20	(516)	644	0	17%	20%	100%
<b>Total Neighbourhoods</b>		<b>11,431</b>	<b>2,515</b>	<b>7,241</b>	<b>(4,190)</b>	<b>22%</b>	<b>63%</b>	<b>39,015</b>	<b>10,695</b>	<b>953</b>	<b>(27,367)</b>	<b>37,749</b>	<b>(1,266)</b>	<b>27%</b>	<b>30%</b>	<b>97%</b>

a: 2017/18 Summary Headlines

<b>Revised Budget</b> £35.7m in P7 P9 <b>£35.7m</b> ⇒	<b>Forecast Outturn</b> £33.4m in P7 <b>£34.4m</b> ↑	<b>Outturn Variance</b> (£2.3m) in P7 <b>(£1.3m)</b> ↑	<b>Movement from P7</b> <b>£1.0m</b>
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b: Budget Monitor

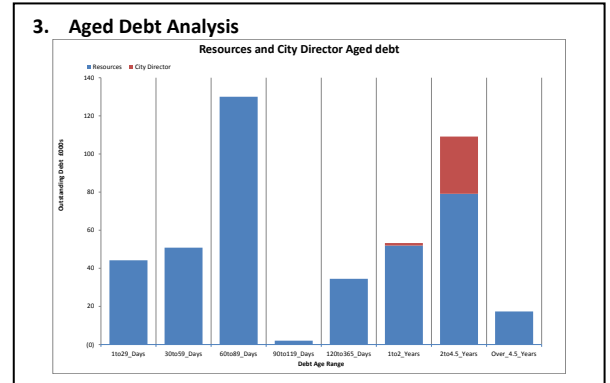


2. Revenue Position by Division

Budget Area	P9 Over/ (under) spend £m	P7 Over/ (under) spend £m	Movement in forecast since P7
Legal and Democratic Services	0.2	0.0	0.2
Executive Office Division a	(0.1)	(0.1)	0.0
Resource Transformation	0.0	(0.1)	0.1
Policy, Strategy & Communications	(0.2)	(0.3)	0.1
ICT	0.0	(0.5)	0.5
Finance	(0.4)	(0.4)	0.0
HR & Workplace	(0.9)	(1.0)	0.1
<b>Total</b>	<b>(1.3)</b>	<b>(2.3)</b>	<b>1.0</b>

Key messages

- The increase in forecast outturn is due to Legal Services requiring to retain agency lawyers to end of March, arrears due to Members and increased court/counsel fees.
- The Resources budget has increased by £83k and this relates to the movement of budget for administration staff from the People and Neighbourhoods directorates which is part of the centralisation programme for admin and business support.
- Aged debt continues to be reviewed and monitored. Land charge debt has received additional finance support and Legal debt is currently under review. Procedures for debt recovery will be re-issued to managers shortly following senior management review.
- All previous risks and opportunities have now been built into forecast.



c: Risks and Opportunities

4. Savings Delivery RAG Status

17/18				18/19			
	Total value of savings (£m)	Value at risk (£m)	Risk (%)		Total value of savings (£m)	Value at risk (£m)	Risk (%)
R No - savings are at risk	0.0	0.0	0%	R No - no plan in place	1.3	0.5	42%
G Yes - savings are safe	3.2	0.6	19%	A Yes - plan in place but still to deliver	7.5	0.3	4%
C Saving has been secured and delivered	2.5	0.0	0%	G Yes - savings can be taken from budget	4.4	0.0	0%
<b>Grand Total</b>	<b>5.7</b>	<b>0.6</b>	<b>11%</b>	<b>Grand Total</b>	<b>13.1</b>	<b>0.9</b>	<b>7%</b>

Top 5 largest savings at risk in 17/18 (ordered by size of saving at risk)		Top 5 largest savings at risk in 17/18 (ordered by size of saving at risk)	
ID - Name of Proposal	Value at Risk in 17/18 (£'000s)	ID - Name of Proposal	Value at Risk in 17/18 (£'000s)
		BE1 - 10 Restructuring support teams	274
		R1 Reduce spending on telecoms	200
		IN06-1 Increase bookings for Lord Mayor's Mansion House & Chapel	150
		BE13 Improvements to legal case management system	51

d: Capital

<b>Revised Budget</b> <b>£6.9m</b>	<b>Expenditure to Date</b> <b>£0.8m</b> 11% of budget	<b>Forecast Outturn</b> <b>£3.1m</b> 44% of budget	<b>Outturn Variance</b> <b>(£3.9m)</b>
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Key Messages

- The Cloud Host project received Cabinet approval on 9 Jan 18 so expenditure on the project is expected before year end
- The BWP project will be finalised once final dilapidation figures have been confirmed
- Remaining projects are expected to be re-profiled for P10

SUMMARY HEADLINES

1. Overall Position and Movement

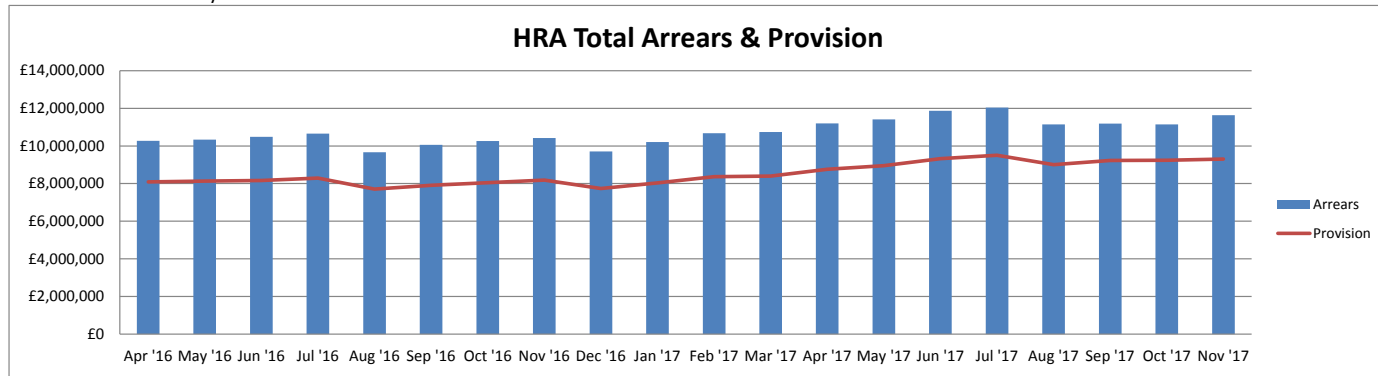
Forecast 2017 / 18 - Underspend -£8.9m											
Revised Budget £0m	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	-0.9	-1.2	-1.3	-1.3	-8.9	-8.4	-8.5	-8.9			
	▼	▼	▼	▲	▼	▲	▼	▼			

2. HRA Income & Expenditure Position

	2017/18 Budget £'m	Forecast Outturn P9 £'m	Variance £'m
<b>Income</b>	-121.3	-121.2	0.1
<b>Repairs &amp; Maintenance</b>	31.7	30.4	-1.3
<b>Supervision &amp; Management</b>	25.9	26.9	1.0
<b>Special Services (Rechargeable)</b>	8.4	8.8	0.4
<b>Rents, Rates &amp; Taxes</b>	1.9	1.9	0
<b>Interest, Depn &amp; Capital Charges</b>	53.9	46.3	-7.6
<b>Funding from Reserves</b>	-0.4	-1.9	-1.5
<b>Total Surplus on the HRA</b>	<b>0.1</b>	<b>-8.8</b>	<b>-8.9</b>

The Housing Revenue Account is showing a surplus for the year of £8.8m at period 9 an increase of £0.5m on period 7. The forecast financial position is mostly as a consequence of slippage in the capital programme funded from revenue (£7.6m), details below in the capital section, and a forecast underspend in Repairs & Maintenance (£1.3m). The underspend in Repairs and Maintenance is mostly due to the change of life cycle for the paint programme from 7 to 10 years, and saving in repairs work due to regular servicing of items such as lifts. There is an expected draw down from reserves of £1.9m to offset the forecast in year costs of implementing the replacement housing management system. The £0.4m change from last month is due to additional underspend on repairs and maintenance

3. Debt The HRA currently has rental arrears of £11.6m and a provision of £9.3m (80%). The arrears have increased throughout the year as a result of various factors relating to welfare reform. The rent arrears policy is being reviewed to support a clear RENT FIRST message to tenants and a further impact assessment is underway for Universal Credit roll out from March 2018.



Capital Budget Monitor Report for Period 201709 - Gross Expenditure per Service & Scheme

Division: Housing Services Capital - Housing Revenue Account

15/01/2018

Gross expenditure by *Programme & Scheme	Current Year (2017)					Performance to budget		Scheme Total for Current Timeframe (FY2016 : FY2021)					Performance to budget		
	Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast	Budget	Total Expenditure to Date	Commitments	Variance Total scheme budget vs actual + commitments	Forecast (including prior years actuals)	Variance Total scheme budget vs total scheme forecast	Expenditure to date	Expenditure + committed to date	Forecast
	£000s					%		£000s					%		
* Programmes may cross division. The data below relates to the named division only															
13612 Capital - Professional Charges - Planned	1,541	0	1,541	0	0%	100%	2,294	752	0	(1,541)	2,294	0	33%	33%	100%
13613 Capital - Professional Charges - SP&G	1,025	0	1,025	(0)	0%	100%	1,374	349	0	(1,025)	1,374	(0)	25%	25%	100%
13614 Capital - Capitalised Works	4,248	1,542	3,985	(263)	36%	94%	4,833	2,127	1	(2,705)	4,570	(263)	44%	44%	95%
13615 Capital - Disabled Adaptations	1,854	1,727	2,530	676	93%	136%	4,610	4,483	19	(108)	5,286	676	97%	98%	115%
13616 Capital - Investment In Blocks - Planned	10,075	2,748	5,195	(4,880)	27%	52%	30,043	22,717	33	(7,293)	25,163	(4,880)	76%	76%	84%
13617 Capital - Investment In Blocks - SP&G	0	0	0	0	0%	100%	22	22	0	0	22	0	100%	100%	100%
13618 Capital - Miscellaneous Schemes	306	32	306	0	10%	100%	475	201	1	(273)	475	0	42%	43%	100%
13619 Capital - Neighbourhood Investment Projects	600	68	600	0	11%	100%	1,231	699	0	(532)	1,231	0	57%	57%	100%
13620 Capital - New Build / Land Enabling Works	8,275	4,512	7,225	(1,050)	55%	87%	17,347	13,585	4,453	690	16,297	(1,050)	78%	104%	94%
13621 Capital - Planned Programme	14,151	7,187	11,831	(2,320)	51%	84%	208,270	21,606	707	(185,957)	205,950	(2,320)	10%	11%	99%
13622 Capital - Priority Stock	0	0	0	0	0%	100%	44	44	0	0	44	0	100%	100%	100%
<b>HRA1 Housing Revenue Account (HRA)</b>	<b>42,076</b>	<b>17,817</b>	<b>34,238</b>	<b>(7,837)</b>	<b>42%</b>	<b>81%</b>	<b>270,544</b>	<b>66,585</b>	<b>5,214</b>	<b>(198,745)</b>	<b>262,707</b>	<b>(7,837)</b>	<b>25%</b>	<b>27%</b>	<b>97%</b>
<b>Total Housing Services Capital - Housing Revenue Account division</b>	<b>42,076</b>	<b>17,817</b>	<b>34,238</b>	<b>(7,837)</b>	<b>42%</b>	<b>81%</b>	<b>270,544</b>	<b>66,585</b>	<b>5,214</b>	<b>(198,745)</b>	<b>262,707</b>	<b>(7,837)</b>	<b>25%</b>	<b>27%</b>	<b>97%</b>

The HRA Capital Programme is forecasting a £7.8m underspend. This forecast underspend has increased by £0.3m since P7 due to: a £85k slippage in this year on blocks due to contractual issues, and reduction of £0.3m in New Build programme due to delays in procurement. The overall variance is made up of the following: investment in Blocks a forecast underspend of £4.9m, where planned investment on some blocks is on hold pending the outcome of following Grenfell and further investment appraisals; investment in New Build a forecast underspend of £1m, where there are 2 sites with issues regarding planning and getting the site cleared prior to being able to start the work; investment in Planned Programmes a forecast (£2.3m) underspend of £2.3m, this is due to a £0.4m slippage in the roofing programme following issues regarding the tendering process, and £1.6m slippage relating to delays in the major repairs programme which is also awaiting outcomes from Grenfell and a further decisions in investment; there has been in £0.6m forecast overspend on disabled adaptations work; and a reduction of £0.2m on the kitchen programme due to lower cost.

SUMMARY HEADLINES

1. Overall Position and Movement

Fore cast 2017 / 18 - Over spend £3.7m (in-year), £5.3m cumulative											
Revised Budget £ 325.4m	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	4.4	4.4	4.4	4.9	4.6	3.7	3.5	3.7			
	▲	▲	▲	▲	▼	▼	▼	▲			

2. Revenue Position by Division

	Brought forward position April 2017 £m	In-year Over/(under) spend 2017/18 £m	Forecast Carry Forward position March 2018 £m
<b>Retained DSG</b>			
Maintained Schools	0.0	0.0	0.0
Academy Recoupment	0.0	0.0	0.0
Early Years Block	-0.4	0.3	-0.1
High Needs Block	2.3	4.2	6.5
Schools Block (Central)	-0.3	-0.8	-1.1
<b>Total</b>	<b>1.6</b>	<b>3.7</b>	<b>5.3</b>

3. Latest Financial Position

There is still an overall cumulative forecast overspend of £5.3m for P9 which includes £1.6m brought forward from previous year.

Schools Forum considered the financial position at its meeting on 16<sup>th</sup> January 2018. The High Needs Budget continues to be the main concern, with offsetting underspends in the Growth Fund.

4. Risks and Opportunities

The underlying position on the High Needs Budget in particular remains a great concern. The measures set out in Table 5 are starting to be delivered with £0.750m already reflected in this month's 2017/18 forecast, but full and swift delivery will not be straightforward for all components. For instance, discussions with Special Schools about a revised model for funding them are at an early stage. The savings measures on their own are only going to address the in-year position, rather than the historic deficit, too. Cabinet agreed to make available £2.7m more to the High Needs Block than the allocation in the DSG itself for 2018/19. Combined with the savings measures in Table 5, this is part of a three year recovery plan for the service.

5. Savings measures and mitigations being developed in the High Needs Block.

Category	Proposal	Savings measures 2017/18 £'000	Savings measures 2018/19 £'000	Savings measures 2019/20 £'000	Total £'000	Status
1. Places only	1.1 Revise agreed places, based on occupancy, including FE		-761	-95	-856	On track
2. SEN Top-ups	2.1 Negotiate lower contributions to FE Element 2s and to standardised FE top-ups	-500	-466		-966	On track
	2.2 Review how we fund Bands 2 and 3 without EHC plans and process for allocating top-ups.	-250	-1,151		-1,401	On track
	2.3 Develop revised models for special schools		-1,166	-834	-2,000	Early Stages
3. AP Top-ups	3.1 Develop revised models for PRUs		-150		-150	Planned
4. Other SEN provision	4.1 Use Capital Strategy to re-provide local, less expensive provision		0		0	Early Stages
	5.1 Share funding for Early Intervention Bases with schools		-450		-450	Planned
5. Other AP provision	5.2 Target saving for Hospital Education Service		-200		-200	Planned
	5.3 Restrict external AP provision to budget		-350	-150	-500	Planned
6. Services	6.1 Target saving for services		-408	-242	-650	Planned
<b>Total full-year impact</b>		<b>-750</b>	<b>-5,102</b>	<b>-1,321</b>	<b>-7,173</b>	



**SUMMARY HEADLINES**

**1. Overall Position and Movement Since Previous Period**

Forecast 2017 / 18 - Underspend -£0.6m											
Revised Budget £0m	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	-0.4	-0.4	-0.5	-0.5	-0.2	-0.5	-0.4	-0.6			
	▼	▼	▼	▲	▲	▼	▲	▼			

**2. Revenue Position by Area**

Budget Area	Over/ (under) spend £m
Third Party Payments	0.5
Premises	0.1
Support Services	0.1
Employees	-0.2
Supplies & Services	-0.5
Income	-0.6
<b>Total</b>	<b>-0.6</b>

**Latest Financial Position**

The £0.1m movement since P7 is due to a forecast saving on GP contracts in relation to healthchecks (where take-up is lower than planned).

Any unspent balance at the financial year end is expected to be transferred to the Public Health reserve for use in future years (in line with Department of Health guidance).

**Appendix I Period 9 Budget Monitoring - Summary**

	2017/18 - Year to date			2017/18 - Full Year				Period 7 Forecast	
	Revised Budget	Net Expenditure	Variance	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance	Movement in Forecast	Forecast Outturn
	£000s			£000s				£000s	
<b>People</b>									
Strategic Commissioning & Commercial Relations	532	711	179	735	710	780	70	(20,120)	20,900
Care & Support - Adults	101,847	116,126	14,279	135,971	135,796	138,206	2,410	22,939	115,267
Care & Support – Children & Families	45,854	42,428	(3,425)	61,352	61,138	61,626	488	12,906	48,720
Education & Skills	10,994	8,462	(2,532)	10,318	14,658	15,441	783	9,328	6,113
Management - People	1,851	2,638	787	2,497	2,468	2,526	58	332	2,194
Early Intervention & Targeted Support	0	0	0	0	0	0	0	(27,677)	27,677
Capital - People	0	0	0	0	0	0	0	0	0
<b>Total People</b>	<b>161,078</b>	<b>170,366</b>	<b>9,288</b>	<b>210,873</b>	<b>214,771</b>	<b>218,579</b>	<b>3,809</b>	<b>(2,292)</b>	<b>220,871</b>
<b>Resources and City Director</b>									
ICT	9,082	11,850	2,768	12,437	12,110	12,110	0	489	11,621
Legal and Democratic Services	4,988	6,273	1,285	6,651	6,651	6,898	247	275	6,623
Finance	2,603	4,165	1,562	3,957	3,470	3,100	(370)	10	3,090
HR & Workplace	3,031	3,349	318	5,275	4,041	3,145	(896)	43	3,102
Resource Transformation	3,220	4,069	849	585	4,294	4,294	0	(42)	4,336
Policy, Strategy & Communications	2,010	1,918	(92)	2,833	2,838	2,600	(238)	20	2,580
Executive Office Division a	1,755	1,601	(153)	2,225	2,340	2,225	(115)	209	2,016
<b>Total Resources and City Director</b>	<b>26,689</b>	<b>33,225</b>	<b>6,537</b>	<b>33,963</b>	<b>35,744</b>	<b>34,372</b>	<b>(1,372)</b>	<b>1,004</b>	<b>33,368</b>
<b>Neighbourhoods</b>									
Citizen Services	10,185	5,360	(4,825)	13,436	13,102	13,582	480	223	13,359
Waste	23,609	25,580	1,970	26,607	27,479	27,479	0	(0)	27,479
Neighbourhoods & Communities	10,088	9,847	(242)	12,068	13,451	13,249	(202)	(118)	13,367
Women's Commission	4	5	1	5	5	5	0	0	5
Public Health - General Fund	1,310	1,002	(308)	2,084	1,814	1,396	(418)	0	1,396
Housing Options	11,449	8,911	(2,538)	13,202	12,932	12,064	(868)	(187)	12,251
Capital - Neighbourhoods	0	0	0	0	0	0	0	0	0
<b>Total Neighbourhoods</b>	<b>56,645</b>	<b>50,703</b>	<b>(5,942)</b>	<b>67,402</b>	<b>68,783</b>	<b>67,775</b>	<b>(1,008)</b>	<b>(81)</b>	<b>67,856</b>
<b>Place</b>									
Property	(2,447)	2,550	4,997	(2,713)	(3,141)	(1,001)	2,140	(270)	(731)
Planning	330	(1,198)	(1,529)	1,256	933	349	(585)	(10)	359
Transport	6,172	(13,317)	(19,489)	9,031	7,011	5,929	(1,082)	(272)	6,201
Economy	5,055	6,151	1,095	5,925	6,741	6,327	(413)	294	6,033
Economy - ABS Team	0	(748)	(748)	1,369	0	0	0	0	0
Capital - Place	0	(1)	(1)	0	0	0	0	0	0
Energy	1,819	35	(1,783)	3,478	2,425	1,861	(564)	379	1,482
<b>Total Place</b>	<b>10,930</b>	<b>(6,529)</b>	<b>(17,458)</b>	<b>18,346</b>	<b>13,969</b>	<b>13,465</b>	<b>(504)</b>	<b>122</b>	<b>13,343</b>
<b>SERVICE NET EXPENDITURE</b>	<b>255,342</b>	<b>247,767</b>	<b>(7,576)</b>	<b>330,583</b>	<b>333,267</b>	<b>334,191</b>	<b>925</b>	<b>(1,246)</b>	<b>335,437</b>
<b>Levies</b>	<b>839</b>	<b>931</b>	<b>92</b>	<b>1,119</b>	<b>1,119</b>	<b>1,119</b>	<b>0</b>	<b>0</b>	<b>1,119</b>
Corporate Expenditure	21,758	54,500	32,742	33,010	19,459	18,246	(1,213)	0	18,246
Capital Financing	392	523	131	0	2,013	2,188	175	(0)	2,188
Insurance Fund	0	1,252	1,252	0	0	0	0	0	0
Year-end Transactions	6,565	8,850	2,285	0	8,854	8,854	0	0	8,854
Corporate Revenue Funding	(273,556)	21,689	295,245	(364,741)	(364,741)	(365,015)	(274)	(0)	(365,015)
RELEASED FROM RESERVES	0	0	0	0	0	0	0	0	0
<b>TOTAL REVENUE NET EXPENDITURE</b>	<b>11,341</b>	<b>335,512</b>	<b>324,171</b>	<b>(29)</b>	<b>(29)</b>	<b>(417)</b>	<b>(387)</b>	<b>(1,246)</b>	<b>829</b>

**HOUSING REVENUE ACCOUNT SUMMARY**

	2017/18 - Year to date			2017/18 - Full Year				Period 7 Forecast	
	Revised Budget	Net Expenditure	Variance	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance	Movement in Forecast	Forecast Outturn
	£000s			£000s				£000s	
<b>Housing Revenue Account</b>									
Strategy, Planning & Governance	(81,145)	(95,619)	(14,474)	(111,159)	(111,161)	(108,961)	2,200	(0)	(108,961)
Responsive Repairs	17,774	15,817	(1,957)	25,467	25,833	25,362	(472)	(306)	25,668
Planned Programmes	12,687	9,745	(2,941)	18,231	17,730	15,731	(1,999)	(49)	15,780
Estate Management	8,418	7,349	(1,069)	15,576	15,711	16,117	405	(140)	16,257
HRA - Funding & Expenditure	(188)	0	188	12,210	12,210	10,768	(1,442)	0	10,768
HRA - Capital Financing	0	0	0	14,958	14,958	7,374	(7,584)	0	7,374
HRA - Year-end transactions	0	0	0	24,718	24,718	24,718	0	0	24,718
<b>Total Housing Revenue Account</b>	<b>(42,455)</b>	<b>(62,707)</b>	<b>(20,252)</b>	<b>0</b>	<b>0</b>	<b>(8,892)</b>	<b>(8,892)</b>	<b>(495)</b>	<b>(8,396)</b>

**RING FENCED PUBLIC HEALTH and DSG**

	2017/18 - Year to date			2017/18 - Full Year				Period 7 Forecast	
	Revised Budget	Net Expenditure	Variance	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance	Movement in Forecast	Forecast Outturn
	£000s			£000s				£000s	
Public Health	207	(1,792)	(1,999)	29	29	(533)	(562)	(99)	(434)
Dedicated Schools Grant	0	(4,600)	(4,600)	0	0	5,245	5,245	117	5,128
<b>Total Ring Fenced Budgets</b>	<b>207</b>	<b>(6,392)</b>	<b>(6,599)</b>	<b>29</b>	<b>29</b>	<b>4,711</b>	<b>4,683</b>	<b>18</b>	<b>4,694</b>