

Cabinet Agenda



Date: Tuesday, 3 July 2018

Time: 4.00 pm

Venue: The Council Chamber - 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, 25 June 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 3rd July 2018



Cabinet is 12 noon on 2nd July 2018. 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

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 3rd July 2018 Cabinet is 5.00 pm on 27th June 2018. 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

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

7. Chair's Business

- Congestion Task Group Report
- Arena Update

(Pages 6 - 20)

PART B - Key Decisions

8. Sport and Active Recreation Facility Strategy

(Pages 21 - 60)

9. Homecare Commissioning

(Pages 61 - 83)

10. Commissioning Childcare Development and Sustainability Service

(Pages 84 - 131)

11. Transport Capital Programme budget allocation 2018/19

(Pages 132 - 146)

12. MetroWest Phase 1 - Initial Promotion Agreement

(Pages 147 - 192)

13. Arnside and Glencoyne Square Regeneration

(Pages 193 - 206)

14. Rough Sleeping Initiative (RSI) Targeted funding 2018-19 bid

(Pages 207 - 216)

15. Procurement of Household Goods and Emergency Payment suppliers in respect of the Local Crisis and Prevention Fund (LCPF)

(Pages 217 - 224)



16. IT Future State Assessment (Pages 225 - 264)

17. Anti-Money Laundering Policy (Pages 265 - 277)

PART C - Non-Key Decisions

18. Corporate Risk Management Report and Corporate Risk Register (Pages 278 - 303)

19. Library Review update (Pages 304 - 308)

20. Household waste and recycling collection methodology update (Pages 309 - 317)





Report on behalf of: Mayor's Congestion Task Group

Title: Recommendations from The Bristol Congestion Task Group

Ward: City Wide

Officer Presenting Report: Alex Perry, Transport Policy Advisor, City Office, Bristol City Council

Contact Telephone Number: 0117 357 3061

Introduction:

This report from the Congestion Task Group (the Group) to the Mayor sets out a one-year long piece of work by the Group and makes recommendations to be taken forward. The report also highlights how the group has also used the opportunity to build relationships, become involved with policy development and offer challenge where needed. The presentation of this report marks the conclusion of the Group's remit as a City Office 'Task and Finish' group however, as the recommendations below state, there is still more to be done through the development of a 'Transport Board'.

Recommendations:

1. That the Bristol Transport Strategy Objectives 1-15 (Appendix 1) are endorsed and then put out for public consultation in Autumn 2018 to be concluded by 31 October 2018.
2. That Bristol City Council commissions as a matter of urgency a Bristol Transport Plan which reflects the specific geographical and movement characteristics of the city, and which is based on transparent data and evidence.
3. That a 'Transport Board' is set up to independently monitor delivery and progress against the Bristol Transport Plan and set the strategic direction for all transport related matters.
4. That the 'Quick Wins' sub-group recommendations are given to Bristol City Council officers to be costed and prioritised – see Appendix 2 for the nine Quick Wins.
5. That the 'Communications' sub-group recommendations to establish a specific role of Transport PR Advisor to take a proactive and positive role on promoting Transport across the city and where relevant wider City region be implemented.
6. That the Mayor and Cabinet member for Transport and Connectivity continue to prioritise options for the movement of people on the key strategic corridors.
7. That the Mayor continues to work in partnership across the sub region, via the Joint Local Transport Plan to promote and deliver transport improvements.

Report from The Congestion Task Group To The Mayor of Bristol

Background

The Mayor of Bristol, Marvin Rees, established the Congestion Task Group with a wide range of stakeholders in May 2017. It was established as a Task and Finish Group with agreed Terms of Reference. Twenty individuals representing their organisations met on a monthly basis with guiding objectives including improving people flow across the city, supporting inclusive economic growth in Bristol and looking at innovative longer-term solutions to the city's transport challenges.

Initially it was envisaged that the Group would meet for twelve months and would prepare a series of recommendations on the City Centre Movement Plan, a Bristol Transport Plan, a 20-mph speed limit review and priorities for the region wide Joint Transport Strategy.

Meetings

The main Group met monthly and in addition established three sub-groups: 'Quick Wins' chaired by Cllr Mark Weston, 'Technical' sub-group chaired by Peter Evans and 'Communications' chaired by John Hirst. The main Group received a series of presentations from both external groups and from officers of Bristol City Council to widen their knowledge and engage in debate. A list of the external organisations that presented is shown in Appendix 5.

A series of reports were drafted and then came to the June 2018 meeting for discussion and debate with a view to forming a consensus. With such a wide range of stakeholders, it was unlikely to result in complete agreement due to the broad range of views and challenging nature of congestion and its impact.

Each sub-group produced a report and recommendations. A short report from each sub-group is attached at Appendices 2, 3 and 4. The recommendations were agreed at the June 2018 meeting and form part of this main report.

Outcomes

Beyond the formal recommendations made above, the Group worked with Bristol City Council officers to discuss and debate and offer opinion of numerous work schemes.

Bristol Transport Strategy

The main focus of the work was on the Bristol Transport Strategy. Initially this was a Bristol Transport Plan and had numerous drafts and iterations. The City Centre Movement Framework was debated first and then the Plan. However, during the review process, it became apparent that a strategy was required before a detailed Plan. Therefore, the technical sub-group spent most of their time on the plan/strategy and helped shape the format of the document which as a Bristol City Council proposed strategy will go out to public consultation in Autumn 2018.

The Group also debated in some detail the objectives of the Bristol Transport Strategy that are to go out for public consultation. In total there are 15 objectives and they are attached in Appendix 1. They are summarised under the headings of (a) Citywide movement (b) City Centre (c) Corridors (d) Local Centres and (e) Neighbourhoods and Residential Streets.

Whilst the objectives are at a high level, the implementation will inevitably cause some conflicts hence the need for a detailed Bristol Transport Plan. The Strategy is a necessary first step but to enable delivery rapid progress must now be made.

Members of the Group felt strongly that a firm evidence base was required and for Bristol to move forward a Bristol Transport Plan with evidence based detail, deliverables and dates was urgently required. The Group felt that this was crucial to show that progress beyond a high-level strategy was indeed being made.

City Centre Movement Framework

The City Centre Movement Framework was debated and following good engagement, changes were made to both the format and drafts of the document. This document then went out for formal consultation during April and May 2018.

Other

The Group were informed and fed back on the planned 20mph review and the Clean Air Zone proposals and the planned consultation. They then gave feedback and suggestions on how they might be amended to get the best possible public engagement.

A smaller sub-group also met with senior staff from Network Rail and Great Western railway to understand the scope of the works on both local rail services and the forthcoming station works at Bristol Temple Meads. The works included the re-signalling scheme and the roof and canopy works. In addition, a meeting was held to further improve Bus / Rail / Ferry transport integration plans for Temple Meads and the Temple Quay re development.

Further benefits came from informal networking between a diverse range of stakeholders who often had differing viewpoints yet shared a common desire to improve connectivity and reduce the impact of congestion in the city.

Summary of Sub Group Recommendations:

Quick Wins

That the Mayor accepts the nine recommendations of the Quick Wins sub-group (as listed in Appendix 2) and, through the Cabinet Member for Transport and Connectivity, forwards them to officers to be costed and prioritised.

Technical

1. That the City Council commissions as a matter of urgency a Bristol Transport Plan which reflects the specific geographical and movement characteristics of the city, and which is based on transparent data and evidence.
2. That the City Council gives consideration to how best to ensure that transport planning is

adequately resourced, with a focus on additional internal resources or, where appropriate, by commissioning works.

3. That any follow up group or Board has satisfactory technical support to allow independent consideration, and that this is properly resourced and supported and has the sufficient authority.

Communications

1. That Bristol City Council have a role dedicated to Transport Communications promoting positive messages about Transport now and in the future.
2. That the focus should be on promoting a proactive relationship with the media stakeholders and the public moving away from specific resource/project allocation to articulating a shared vision for Transport.
3. That the vision and objectives of the Bristol Transport Strategy and the Joint Local Transport Plan are clearly articulated and communicated, and this shared vision is the golden thread which knits together the disparate policy areas.
4. That Bristol City Council provide timely positive accurate and relevant information in a manner which easy to read and understand.

Moving Forward

The Group felt that there was more to be done and broadly supported the establishment of a Transport Board to operate at a strategic level to ensure that progress was delivered. There was a strong feeling that a Transport Plan was required and whilst focussed on Bristol needed to be closely aligned with sub regional and sub national bodies.

The Bristol Transport Plan was seen as an urgent requirement to plan implementation of schemes that delivered the proposed Bristol Transport Strategy. Additionally, the Group wanted to see continued work on progressing options for the movement of people on key strategic corridors.

There was much debate over the role of Bristol in the sub region and the potential for change with the developing regional bodies. The Group wanted to ensure that the Mayor and Member for Transport and Connectivity continued to work in partnership across the sub region, via the Joint Local Transport Plan, to promote and deliver transport improvements.

Reflecting on the work of The Congestion Task Group itself, the Group felt to maximise effectiveness such a Board needs a very clear purpose being clear on what additionality it brings, a defined remit, strong governance, a strategic focus and the ability to use sub-groups to focus on specific issues.

Citywide Movement
<ol style="list-style-type: none"> 1. Efficient movement of traffic around the city, with increased resilience of the network and minimised impacts of congestion and air pollution. 2. On and off-street parking managed efficiently to encourage use of sustainable transport and tackle congestion, while providing options that support the city's economy, especially evening and night-time. 3. Reduced excess lorry and van travel in the city (especially during peak hours), working with industry to find cleaner alternatives for the movement of goods. 4. Public transport to be visibly integrated, convenient and reliable to enable people to move around the city in a more efficient way 5. Walking to be safe, pleasant, accessible and the first choice for local journeys and combined with public transport for longer journeys. 6. Cycling to be safe, simple, accessible and convenient, either as an option for the whole journey or as part of a journey combined with public transport 7. More people making sustainable and healthy transport choices by improving engagement with communities, schools and businesses. 8. New developments to be innovative in their approach to prioritise sustainable transport options and address the impact on the existing network. 9. A resilient and well-maintained network to enable continuous movement of people and goods, using smart technologies.
City Centre
<ol style="list-style-type: none"> 10. A city centre that is accessible by active and sustainable transport and attractive to live, work and visit, enhancing its status as the foremost shopping and cultural centre in the South West.
Corridors
<ol style="list-style-type: none"> 11. More efficient transport corridors to move the largest number of people in the space available
Local Centres
<ol style="list-style-type: none"> 12. Supported and enhanced local centres and high streets, recognising that they provide key services and facilities, and can also be transport corridors and destination points for visitors. 13. Reduced impact of motorised traffic on local centres creating better public spaces that are more accessible by walking, cycling and reliable public transport.
Neighbourhoods and Residential Streets
<ol style="list-style-type: none"> 14. Key facilities and services increasingly accessible to all citizens without the need to rely on a car. 15. Safer places to live by working with citizens to design and deliver measures to improve movement and liveability in our neighbourhoods

Appendix 2

Quick Wins Sub Group

The Quick Wins sub-group was established to look at suggestions from a variety of sources that could cut congestion, and improve people flow, quickly, and hopefully cheaply. In total 151 proposals were received from Councillors, experts and the results of the travel to work survey.

The sub-group was chaired by Councillor Mark Weston and the membership is shown in Appendix 6

We have limited road space in Bristol. Bristol road space is operating at capacity. We are looking for more efficient ways to use that road space and improve people flow across the city. Any proposed quick wins can help improve things but won't solve the problem.

The sub-group also wanted to ensure we had a good range of quick wins, which covered a range of modes, that included capital/revenue spend or could influence existing budget allocations. It is very important that the City as a whole takes on the issue of Congestion – it is not simply a Council problem. These quick wins can be delivered with partners but we also must ensure that the general public realise they too have a role to play in the choices they make and if we are to truly cut congestion it will require people to make different choices, more often. All quick wins and any transport investment should be linked to the emerging Joint Local Transport Plan and Bristol Transport Plan to show they are a contribution to the overall transport vision for the area.

After deliberation, our top 9 suggestions (in no particular order) are as follows:

- 1. Corridor Review** – Many suggestions refer to small measures that might help alleviate congestion, such as traffic light optimisation, but it was felt that rather than consider each in isolation that we should instead look strategically at an entire corridor. We would suggest that the A38 be considered first as a pilot as this would build on the South Gloucestershire Council review that looked at their portion of this arterial route. When considering this, and any other, corridor the review should include the following elements:
 - Traffic light optimisation, are these working at the right sequence to allow maximum flow into the city at peak times all along the corridor.
 - Bus Lanes, are they working properly and in the right place?
 - Parking, would a 'red route' designation in which parking is prohibited at peak times increase road capacity and flow.
 - Review effectiveness of protruding bus stops, although they do allow buses to retain their place in the traffic queue, they can also hold up all of the traffic behind them (including other buses).
 - Junction turnings, would restrictions on certain turning options help ease congestion in neighbouring roads? In addition, there may be scope to widen the road space to allow a turning lane at more junctions (such as with Kellaway Avenue) than currently exist.
 - Enforcement, it is believed that better enforcement of bus lane usage and parking provision would benefit the flow of people up and down the corridor.
 - Use intelligent monitoring of congestion to identify hotspots for focus of our information.
- 2. Bus Lanes: Policy update and review** - The members of the Congestion Task Group would like to get a better understanding/overview of Bristol's bus lanes in terms of policy, operation and enforcement. Are there any tweaks that can be made to the existing network to improve bus reliability and maximise people flow across the city?

3. **Review the appropriateness of pelican / zebra crossings** – In several key locations, such as the Triangle or Redcliffe Street, zebra crossings hold up the flow of traffic considerably as a steady stream of pedestrians trickle across the crossing. We believe that consideration should be given to converting these to button controlled pelican crossings to ease congestion and unnecessary car idling whilst still accommodating significant pedestrian/cycle movements.
 4. **Lines & Signage in Cycle Lanes** – Reviewing existing signs and lineage - In some cases cycle lanes are poorly marked and difficult to access. The example of the cycle lane over the Downs is cited. In this scenario cyclists use the road (where there are poor safe overtaking opportunities) whilst riding immediately adjacent to a joint pedestrian and cyclist path. If the path were better marked, signposted and easier to access then it would improve usage, increase safety and help traffic flow.
 5. **Waste Collection Restrictions** – Understand the possibility of restricting bin collections to side roads during peak periods.
 6. **Specific traffic Flow Issue on Black Boy Hill** – The junction has many failings and needs a review that looks at how to keep the junction clear, how to optimise the traffic lights at key times and how best to control the slip road for vehicle access.
 7. **Review of Procurement Rules** – The Council should add an extra criteria within its definition of social value when it considers bids and tenders from suppliers, for example whether the supplier has a motor vehicle use reduction plan.
 8. **Promoting Bus / Rail Interchange through maximising the potential of our existing rail facilities – (with WECA)** This includes better signage, information and connectivity. Proposals might include:
 - Bus stops adjacent to rail stations should bear the name of that station.
 - On-board information should indicate e.g. “Alight here for Montpelier Station”
 - In timetables for routes calling at that station its name should be mentioned in the timetable e.g. “Berwick Road for Stapleton Road Station”
 - There should be a rail timetable at each entrance to each rail station where it can be read by passers-by.
 - Ensure rail timetables at all bus stops adjacent to rail stations.
 9. **Lane Rental Scheme (with WECA)**
DfT initiative launched end Dec 2017 - Licensing/charging for road works to help improve journeys and reduce congestion. <https://www.gov.uk/government/news/congestion-busting-scheme-to-benefit-millions-of-drivers>
-

Other shortlisted Quick Wins removed from above list but are or need progressing so noted here:

ALREADY PROGRESSING

Travel Plans - Investigate planning conditions to enforce the development and use of travel plans for Employers and Schools, can conditions be attached to granting business parking permits.

Overly wide pavement – The Council has spent a lot of money in widening pavements. However it was felt that in some cases this has been carried too far and needlessly restricted road width to the point that two large vehicles can no longer safely pass each other. One example would be the Luckwell Road junction with Ashton Road.

Secure Cycle Storage – Ensure that adequate secure bike storage is provided at key transport interchange hubs and across the city as a whole.

PASS TO COMMS GROUP

Communications/Campaigns – working closely with the comms group there are key messages that need to be communicated. Need to link all transport investments back to the Joint Transport Study/Joint Local Transport Plan/Bristol Transport Plan – part of a wider vision for the area, educate wider public on transport issues using facts and data. Need to ensure all transport investments include revenue as well as capital funding to inform people what is happening and the benefits.

This can also include a number of specific campaigns like:

- **Walk to work campaign** – We should look at a targeted campaign to encourage people to walk short distances to work.
- **Pavement Parking** – help reduce the inconsiderate practice of pavement parking with affects more vulnerable pavement and road users (pedestrians, cyclists, disabled, children, older people).
- **No idling** – links to air quality, when stopped turn off engines (cars, buses, taxis, motorbikes).
- **One Day a Week** – encourage people to think about how they travel and get them to try a different mode at least one day a week to help cut congestion.
- **Flexible Working** – Promotion through employers and with the BCC Transport Team help for greater flexible working so that working from home becomes a choice for more employees.
- **Greater use of existing travel information** – We should look at ways in which we can promote Travelwest for transport information and journey planning.
- **Cycle security** – We should campaign with police to crack down on cycle thefts/theft hot spots in the city, promote cycle security (how to lock your bikes to deter thieves etc).

LONGER TERM – Not Quick Wins but worth progressing

Traffic Light on Roundabouts (with WECA) - Investigating whether certain traffic lights on roundabouts can be turned off during the off peak to improve flow.

Consider new incentives (with WECA) – One possibility worthy of consideration would be to lobby the Government to trial a Bus to Work / Train to work scheme similar to Cycle to Work in the City/West of England. In addition, we should look at ways to promote the existing "Freedom Pass" train/bus ticket range and consider incorporating the ferry, also season tickets for part-time workers or people who cycle 2/3 days a week and train/bus 2/3 days a week.

Yellow Box Junction Enforcement (with WECA) – Lobby the Government for powers to enforce yellow box junctions, currently only the Police are able to do so.

Appendix 3

CONGESTION TASK GROUP TECHNICAL SUB-GROUP REPORT

Key Recommendations

1. That the City Council commissions as a matter of urgency a Bristol Transport Plan which reflects the specific geographical and movement characteristics of the city, and which is based on transparent data and evidence.
2. That the City Council gives consideration to how best to ensure that transport planning is adequately resourced, with a focus on additional internal resources or, where appropriate, by commissioning works.
3. That any follow up has satisfactory technical support to allow independent consideration, and that this is properly resourced and supported and has sufficient authority.

Introduction

The Technical Sub-Group was formed to provide a resource to the Task Group to support consideration of the Task Group Terms of Reference. The Sub-Group prepared initial draft Terms of Reference on this basis. In the event, as the work of the Task Group did not fully reflect this Group's Terms of Reference, the work of the Sub-Group proved more limited.

The Sub-Group worked closely with relevant officers and was highly impressed by the commitment shown by these officers.

The Sub-Group comprised mainly members of the Task Group with specialist transport planning expertise. As such, the Sub-Group felt strongly that proposals should be based on appropriate and transparent data and analysis. The Sub-Group was advisory only, and this view was not reflected in the final versions of documents on which comments were made. In the view of the Sub-Group, this was a matter for regret, as was the limited co-ordination with other Sub-Groups.

In the event of a follow-up group being formed, the work of the Technical Sub-Group showed the potential benefit of such an independent resource to complement the work of officers, providing this is properly resourced and supported, and has clear authority.

Terms of Reference

A copy of the draft Terms of Reference prepared at the start of the Sub-Group's work is attached.

The sub group was Chaired by Peter Evans and the membership is shown in Appendix 6

Key Areas Investigated

Initial work was undertaken on commenting on the City Centre Movement Strategy and the relationship with the City Centre North East Spatial Framework. The Sub-Group commented that the two documents should be combined to make the inter-relationship clear, and also for the analysis underpinning the movement options to be included. The Sub-Group was not involved in the subsequent work. The recommendation that the additional feasibility work was undertaken in order to get additional data and evidence was not due to the role of the document acting as a framework rather than a specific scheme.

Later, work concentrated at the request of the Task Group Chair on liaising with officers on a Bristol Transport Plan, the production of which was a component of the Task Group Terms of Reference. The Sub-Group prepared a suggested brief for discussion with officers, who had already prepared a draft Transport Plan before the Task Group was formed.

There was a divergence of view between officers and the Sub-Group on the scope and technical content of the document. Officers preferred an accessible public facing document and the Sub-Group a more technical document

It was determined by the Council to continue with a public facing document as this was more useful, so the document was renamed the Bristol Transport Strategy. Nonetheless, the Sub-Group advised that there should be a Technical Appendix with appropriate data and analysis. This was not incorporated but there was a strong recommendation from the Sub-group that this is included in future iterations - whether as an appendix or a Bristol Transport Plan.

The Sub-Group considers that a Bristol Transport Plan to the brief originally suggested and supported by transparent data and evidence remains an urgent need for the city.

Outcomes

The main outcomes of the Group were the influences on the City Centre Spatial Framework and the Bristol Transport Strategy.

TECHNICAL SUB-GROUP TERMS OF REFERENCE – INITIAL DRAFT

General

- facilitate technical liaison with Council transport officers;
- provide advice to main group on approach to technical matters;
- coordinate work with main group programme.

Short Term

- establish current technical linkages with WECA, WofE Joint Committee, and JTS;
- identify current transport related studies, processes and data;
- initial technical over-view of City Centre Movement Strategy, including evidence base;
- advise on potential technical implications of suggested 'quick wins'.

Medium Term

- review the Council's current approach to plans and projects;
- liaise with Communications Sub-Group on issues for transport department;
- consider the role, context and content of the Bristol Transport Plan;
- consider coordination with surrounding City region;
- consider priorities for infrastructure proposals for JLTP4.

Long Term

- recommend good practice on use of data and transparency;
- investigate the latest innovative technical approaches and opportunities;
- advise on national policy implications of experience in Bristol.

Other

- consider the need for whether further independent resources from outside the main group or sub-group are required;
- monitor TOR, membership and programme.

Appendix 4

Communications Sub Group Report

Recommendations

1. That Bristol City Council have a role dedicated to Transport Communications promoting positive messages about Transport now and in the future.
2. That the focus should be on promoting a proactive relationship with the media stakeholders and the public moving away from specific resource/project allocation to articulating a shared vision for Transport.
3. That the vision and objectives of the Bristol Transport Strategy and the Joint Local Transport Plan are clearly articulated and communicated, and this shared vision is the golden thread which knits together the disparate policy areas.
4. To provide timely positive accurate and relevant information in a manner which easy to read and understand.

The sub group was chaired by John Hirst and the membership is shown in Appendix 6

Outcomes

The group sought to review and add value to the activity and diversity of the breadth of communication activity relating to transport across the City and to consider the region.

After several productive and constructive meetings with officers and reviewing the media coverage the Group identified the following points:

- A need to be creative and positive and all work together
- A requirement to move away from project specific resource allocation
- Promotion of a shared vision for transport
- A desire to improve communications internally, externally and use existing networks to convey messages
- The current lack of dedicated communications resource specifically for the transport directorate was a serious constraint
- A view that Communications should sit at Board level to understand and develop plans appropriate to the scale of transport plans, showing clearly how communications is an essential part of the delivery
- To consider alternative approaches maximising social media and, for example, using YouTube for video explanations
- To consider a face of transport - recognised as the champion of transport promoting the message that we all need to review our own approach to travel.
- To be positive and realistic and to relay accurate timely information whilst also selling the bigger picture

Specific points on messaging

This would include the following:

- Creating consistent and coordinated messages about current issues.
- Giving advice and guidance, current and future.
- Promote positive messages about transport improvements.
- Encouraging everyone to review their approach to travel.
- Changing long-term habits of individuals and companies.
- Build a collegiate approach across the WECA region with an overarching narrative encouraging buy in from key partners.
- Highlight and encourage the benefits for all users.

Conclusion

The sub group debated the issues and then proposed the recommendations listed above to the wider Congestion Task Group.

Appendix 5

Presentations Given to the Congestion Task Group

External

Tunnelling Options – Balfour Beatty, Mott MacDonald, WSP

Joint Transport Strategy – WECA

Metro Bus – West of England Partnership

The Customer – Transport Focus

The Role of the Bus – First

Cycle Hire – Yo Bike

Ferries – Bristol Ferry Boats

Taxis – Bristol Licenced Taxi Association

Private Hire – Uber

Car Clubs – Enterprise Car Club

Bristol City Council - Officer Presentations

Subjects

Bristol Transport Issue – Facts & Figures

No Idle Roadworks

The New Operations Centre

Air Quality Study

2050 City Vision

Metro West Rail Plans

City Centre Movement Framework

Bristol Transport Plan/Strategy

Temple Gate Redevelopment

One City Plan

20mph Proposed Review

Appendix 6

Membership of the Congestion Task Group

The members of the Group were acting in their individual capacities rather than as representatives of their institutions.

Name	Affiliation	Sub Groups
Councillor Mhairi Threlfall	Bristol City Council (Chair)	
Adrian Davis	Public Health, Bristol City Council	QW, Comm
Ann O' Driscoll	North Bristol SusCom	QW, Comm
Councillor Mark Weston	Bristol City Council	QW,
Councillor Steve Pearce	Bristol City Council	QW, T
David Redgewell	Disability Equalities	
Prof Eddie Wilson	Bristol University	T
Prof Graham Parkhurst	University of West of England	QW, T,
James Freeman	MD First Bus West of England	
John Hirst	Destination Bristol	Comms
Kevin Slocombe	Head of Mayor's Office, Bristol City Council	
Melanie Watson	Transport Focus	QW, Comms, T
Dr Miriam Ricci	University of West of England	T
Patrick Williams (initially)	Sustrans	Comms
Jon Usher	Sustrans	Comms
Peter Evans	Peter Evans Partnership	T,
Rod Dennis	R.A.C	
Sue Arrowsmith	Bristol Women's Commission	QW
Sean Walsh	Highways England	
David Northey	Network Rail	
Peter Mann	Director of Transport, Bristol City Council	
Adam Crowther	Head of Strategic City Transport, Bristol City Council	

Supported by

Alex Perry	Transport Policy Advisor, Bristol City Council
Simon Cowley	Policy Manager, Mayor's Office, Bristol City Council

QW – Quick Wins T – Technical Comms - Communications



Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	A Sport and Active Recreation Facility Strategy (SARFS) for Bristol		
Ward(s)	City Wide		
Author: Guy Fishbourne	Sport and Physical Activity Manager		
Cabinet lead: Councillor Kye Dudd	Executive Director lead: Susan Milner		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
<p>Purpose of Report: The purpose of this report is to seek approval for the Strategy and to inform Cabinet members that public consultation on the draft SARFS has now been completed. The consultation received 461 responses where the overarching response was that respondents neither agreed nor disagreed with the contents of the strategy document. Public consultation has not resulted in any significant change to the direction of the draft strategy and with the exception of some minor drafting amendments officers are now seeking approval for the final draft strategy to be formally adopted by the Council.</p>			
<p>Evidence Base:</p> <ol style="list-style-type: none"> 1. The quantity, quality, availability and accessibility of a sufficient number of various sports facilities (both now and in the future) is important for the city in terms of encouraging participation in sport and physical activity, and for general health and well-being. 2. The SARFS will contribute towards the objectives in the new Corporate Strategy 2017-2022, and the outcome of achieving alternative and more cost effective models for the delivery of service provision. It will be used to secure external funding towards new and enhanced facilities. 3. The main aims of the strategy are to identify the needs and priorities for sports facilities in Bristol, to protect, enhance and provide facility provision to meet these needs and establish clear strategic priorities and actions for sport and active recreation facility provision. 4. In developing the draft Sport Facility Strategy, Sports Officers have followed the Sport England methodology to ensure a comprehensive overview of Bristol's sport facilities has been developed. 5. A needs assessment has been undertaken in consultation with Clubs, National Governing Bodies for sport and Sport England, to establish the quantity, quality, availability and accessibility of all the relevant sport facilities across Bristol (regardless of ownership) in order to fully understand and help evidence the strategic need for provision. 6. Comprehensive information on Bristol's demography, ethnicity, economy, population and sporting profile is covered in the Assessment of Needs and Opportunities and also the Portfolio of Evidence document that supports the Bristol: Sport4Life strategy. 7. On-site quality assessments have been undertaken on the majority of facilities, both public and private, in 			

accordance with sports specific criteria set out in Sport England's guidance.

8. An extensive stakeholder consultation exercise has been undertaken by leading leisure consultant Knight Kavanagh and Page.
9. A twelve week public consultation finished on the 22nd February 2018. The consultation was designed to encourage responses on both the overall strategy and/or individual facility types. A total of 461 responses were received with the majority choosing not to answer the questions on the overall strategy document (Appendix B).
10. Out of a total of 38 respondents who disagreed or strongly disagreed with the strategy contents, 22 people commented specifically on not closing Jubilee Pool. The strategy document highlights options for Jubilee Pool.
11. The majority of the responses received were made on specific facilities with the largest number of responses (289) being made on swimming pool provision. The other highest responses were on Sports halls and Cycling facilities/Wheels Parks. Both of these facility types figure prominently in the draft strategy and comments made are generally supportive of the proposals.
12. Swimming pool provision is the topic of most interest to the respondents of the consultation. The main theme to be drawn from the comments is a need for more pool space in general in the city.
13. Responses from the public consultation do not significantly affect the proposals related to major facilities or other actions and opportunities identified in the draft strategy. The issue of swimming pool provision is well documented in the city and the responses/information gained through the consultation will be added to the large amount of information on the topic already gathered.
14. The overall direction of the strategy remains unchanged.

Recommendations:

1. That Cabinet notes the outcome of the consultation process
2. That Cabinet approves the the draft Sports and Active Recreation Facility Strategy (2018 – 2023)

Corporate Strategy alignment: The Corporate Strategy makes the commitment that Bristol 'Will be a leading cultural city, making culture and sport accessible to all'. It confirms the council's role in promoting opportunity, attracting funding and protecting investment in culture while also facilitating others and states that it will continue to offer good quality services which attract visitors and create places which can host events.

The vision for the city set out in the SARFS sets out Bristol's sports facility priorities for the next five years, which in turn will provide the foundation for the Mayor's 50-year vision.

City Benefits:

1. The quantity, quality, availability and accessibility of a sufficient number of various sports facilities (both now and in the future) is important for the city in terms of encouraging participation in sport and physical activity, and for general health and well-being.
2. The current financial challenges see the Council under increasing pressure to deliver more cost effective and efficient services. For sports facility provision this will mean working more closely with the multitude of providers in the sector to ensure the city's facility provision meets current and future demand and that as many facilities as possible (regardless of ownership) are sustainable, accessible and available for community use.

Consultation Details:

As part of this work officers have consulted key partners and stakeholders including, Education, Property, Planning, National Governing Bodies for sport, Sport England, County Sports Partnership, Universities, Professional Clubs, Leisure Operators, amateur clubs. A full Councillor briefing has been offered and a twelve week public consultation

undertaken. See appendix B

Revenue Cost	£NA	Source of Revenue Funding	NA
Capital Cost	£NA	Source of Capital Funding	NA
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice: This report proposes a strategy to identify the needs and priorities for sports facilities in Bristol. No financial commitments arise at this time. Any future investment decisions for sports facilities will be subject to an agreed business case and funding.

Finance Business Partner: Jemma Prince - 19th April 2018

2. Legal Advice: There must be clear evidence that Cabinet has considered the consultation responses in reaching its decision. The report (including the appendices) sets out the consultation process and summarises the outcomes and their impact on the proposed way forward. Cabinet needs to satisfy itself that the report and proposals adequately addresses these issues. In addition the decision must also comply with the Public Sector Equality duty ie 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 satisfied that the report contains sufficient information about the effects of any proposed changes to the sports facility provision on the aims of the Equality Duty. The equalities impact assessment is designed to assist with compliance with this duty.

Legal Team Leader: Eric Andrews, Team Leader, Legal Services – 19th April 2018

3. Implications on ICT: There are no identifiable direct IT implications in this initiative. It is also unlikely that any sub-projects that arise from this may require IT input or support. However, should this prove to be the case, then early engagement with IT, via changes services, will help successful delivery

ICT Team Leader: Ian Gale (Head of IT) – 11th April 2018

4. HR Advice: No anticipated HR implications

HR Partner: Celia Williams – 19th April 2018

EDM Sign-off	Alison Comley	25 April 2018
Cabinet Member sign-off	CLlr Kye Dudd	03 May 2018
CLB Sign-off	Jacqui Jenson	15 May 2018
For Key Decisions - Mayor’s Office sign-off	Mayor’s Office	04 June 2018

Appendix A – Further essential background / detail on the proposal	YES
Appendix B – Details of consultation carried out - internal and external	YES
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO

Appendix I – Combined Background papers	NO
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO

Appendix A (Essential Background)

Background & Context

1. The quantity, quality, availability and accessibility of a sufficient number of various sports facilities (both now and in the future) is important for the city in terms of encouraging participation in sport and physical activity, and for general health and well-being.
2. In December 2013 the Bristol:Sport4Life Strategy was endorsed by the former Mayor and Cabinet as a city-wide strategy for sport and active recreation for the period 2013-2018, based on a vision that Bristol is a successful city of sport and active recreation where people are healthy and motivated to participate for life.
3. Initial background assessment work on the draft SARFS was undertaken in 2013/14 but this work did not progress to a formal strategy. The 2013/14 assessment work has been updated in 2017, alongside a comprehensive consultation with all relevant partners.
4. The SARFS will contribute towards the objectives in the new Corporate Strategy 2018-2023. It will be used to help secure external funding towards facility enhancements.
5. There are no financial commitments arising from the development of this strategy. Any future investment decisions for sports facilities will be subject to an agreed business case and funding.
6. There is potential to access external funding towards strategic sports facilities in Bristol under the Sport England Strategic Facilities Fund. Access to this is subject to Bristol having an up to date sports facility strategy in place and other criteria.
7. It will link with the newly adopted Bristol Playing Pitch Strategy and contributes directly towards the Bristol:Sport4Life Strategy (Attractive City theme).
8. The current financial challenges see the Council under increasing pressure to deliver more cost effective and efficient services. For sports facility provision this will mean working more closely with the multitude of providers in the sector to ensure the city's facility provision meets current and future demand and that as many facilities as possible (regardless of ownership) are accessible and available for community use.
9. The SARFS focuses on a range of sports facilities (See Appendix A)
10. There are a number of key drivers for developing the SARFS inc. changes in the education sector, an increased number of providers, changes in national planning policy, the financial climate, the projected increase in population and the increasing demand on sports facilities, the need for a clear evidence based strategy in order to secure external funding, the need to prioritise capital and revenue funding in the city and the need to inform the assessment of planning applications. For further information (See Appendix B)
11. The SARFS will form part of the evidence base upon which planning policy relating to sport and recreation will be produced. The National Planning Policy Framework requires that planning policies should "be based on robust and up-to-date assessments of the needs for open space, sports and recreation facilities and

opportunities for new provision” (NPPF, para 73).

Methodology

12. In developing the draft SARFS, Sports Officers have followed the Sport England methodology to ensure a comprehensive overview of Bristol’s sport facilities has been developed (See Appendix C).
13. A needs assessment has been undertaken in consultation with Clubs, National Governing Bodies (NGB’s) for sport Sport England, to establish the quantity, quality, availability and accessibility of all the relevant sport facilities across Bristol (regardless of ownership) in order to fully understand and help evidence the strategic need for provision.
14. On-site quality assessments have been undertaken on the majority of facilities, both public and private, in accordance with sports specific criteria set out in Sport England’s guidance.
15. An equalities impact assessment forms part of this strategy work.

Findings

16. The strategy and findings will form part of the Council’s evidence base for sport and leisure. It will help frame the priorities for future investment and the continued provision and development of sport facilities across Bristol.
17. The evidence base created will be utilised by the local planning authority when considering planning applications in consultation with Sport England, who in turn will consult with NGB’s for sport as appropriate.
18. The analysis within the assessment work and strategy will assist in determining the priorities for future work and investment, although new provision and enhancements or developments will be subject to sources of funding (including external sources) being available.
19. In accordance with the findings from the needs assessment and stakeholder consultation, potential capital projects have been identified in the event funding becomes available. Progression of any potential projects will be subject to funding being available and both council and sport’s governing body criteria being met.
20. For key findings see Appendix D

Aims & Objectives

21. The main aims of the strategy are to identify the needs and priorities for sports facilities in Bristol, to protect, enhance and provide facility provision to meet these needs and establish clear strategic priorities and actions for sport and active recreation facility provision (See Appendix E)

Vision

22. Building on the drivers, aims and objectives and updated consultation process, the vision for the Sport and Active Recreation Facility Strategy (2018-2023) is:

Sports and physical activity facilities in Bristol will be inspirational, internationally recognised, of high quality and will underpin the drive to make the City a place where opportunity to be physically active is locally accessible and affordable to all.

Major Facility Proposals

23. Notwithstanding the need to continuously consider all sports and all facility proposals, the work to date has identified a need in Bristol for two types of major facility developments:
1. Swimming pool provision
 2. Multi-court sports halls / mini arenas (Appendix F)

Swimming pool provision

24. Swimming pool provision in Bristol, while technically adequate to cater for the City's needs, is dependent upon a number of facilities that are either approaching or have already passed the expiry date for their useful life.
25. It is proposed that the City considers new/enhanced pool provision in East / Central Bristol. This could either be as part of a redeveloped Easton Leisure Centre or at another, as yet unidentified, location. The feasibility of this should be assessed in tandem with the evaluation of the potential development of multi-court sports halls.
26. This should also be assessed in conjunction with the need to progress other broader swimming pool related objectives. For Jubilee this includes determining if at the end of the existing contract in 2022 a sustainable delivery model can be developed or, depending on the new/enhanced pool provision mentioned above, alternative options are considered.
27. The feasibility of this should be assessed in tandem with the evaluation of the potential development of multi-court sports halls.

Multi-court sports halls / mini arenas

28. Arising from the 2017 consultation work are both a demand for more indoor sport space and also several proposals / potential developments that could meet that demand.
29. These proposals could develop in to the provision of a network of high quality participation/performance centres/multi-court sports halls that accommodate comprehensive community use, attract national or bigger events, enable franchises to be won, and raise the inspiration and profile of sport.
30. Whilst the scope of this strategy work is focussed on community facilities, most partners, feel that such a network will not only fulfil the basic aims of confirming Bristol as a true UK and European City of Sport but will also, if designed

appropriately and if part of a co-ordinated facility planning and usage structure, help to relieve pressure on existing facilities and create additional capacity within them.

Opportunities

Opportunities: schools

31. There is an opportunity to negotiate with the Education Funding Agency and the 'sponsoring agencies' leading on development of the new secondary schools, to add capital in order to expand the scale of sports halls to the double court specification.

Further considerations include:

- Changing/ancillary accommodation could be designed to ensure that venues operate on a basis that is safe, secure and fully separate from the school, minimising risk and cost.
- To ensure cost effectiveness and affordability, each venue should be appropriately located on the 'periphery' of its school/academy site and designed to allow it to operate on the basis of the lowest possible level of paid supervision; i.e. that an agreed network of clubs, leagues and coaches would be able to gain access via a form of centrally managed entry management system.
- All usage and hire could be managed on a cashless basis; with venues pre-programmed to accommodate the combination of clubs/leagues.
- The system could be based upon the payment of a fixed annual guaranteed hire fee to the school/academy.

Opportunities: existing leisure centre sports halls

32. Should sports hall / indoor sports provision significantly increase in the city, there may be an opportunity to consider changes in provision at current local authority owned leisure sites. This significant indoor space could be re-shaped to allow provision of activities that increase revenue or new facilities that provide other key community services.

- Many leisure centres in the UK have been re-allocating squash court and sports hall space to accommodate a greater health and fitness offer. Larger gyms and additional studio space are in demand and have the potential to create significant revenue streams for operators. This in turn may allow a greater programme of concessionary provision targeted at key health populations.
- There is an opportunity to better align the sport facility work with wider public physical, mental and social health agendas. One potential practical way of doing this is to consider the co-location of community facilities such as GP surgeries, children's nurseries, chemists, libraries and/or community centres in to these leisure facilities.

Appendices: Appendix A – Sports Facilities Included in the Strategy

Appendix B – Key Drivers for Developing the Facility Strategy

Appendix C – Methodology

Appendix D – Key findings

Appendix E – Aims and Objectives

Appendix F - Multi-court halls facility proposals and opportunities

Appendix A

Facilities included in Strategy (regardless of ownership)
Sports halls
Swimming pools
Athletics tracks
Indoor and outdoor bowls
Squash courts
Indoor and outdoor tennis
Golf courses
Gymnastics centres
Health and fitness suites
Multi-use games areas (MUGAs)
Cycling facilities and wheel parks
Watersports centres of all types
Studios

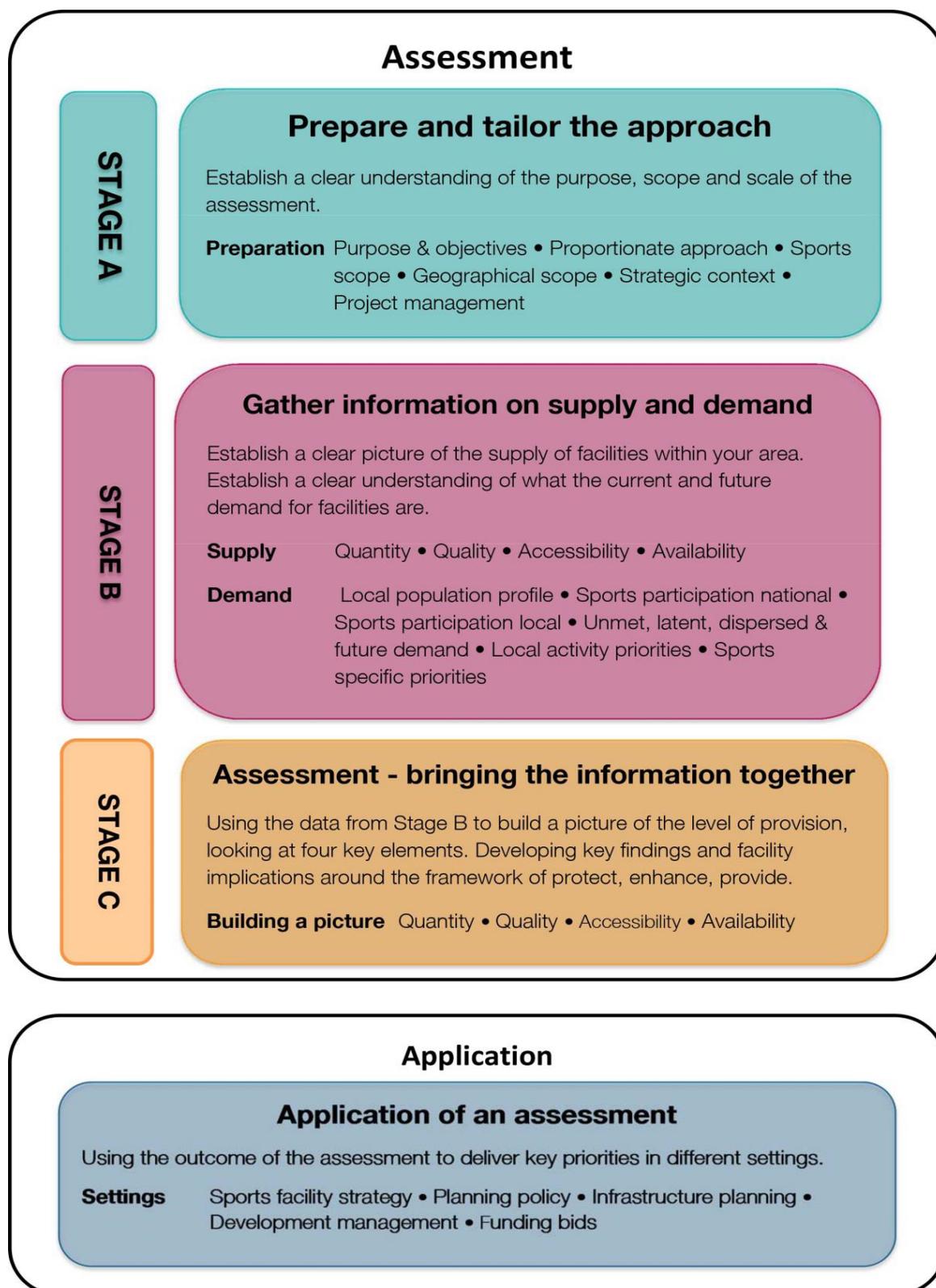
Appendix B

Key Drivers for Developing the Sports Facility Strategy

1.	There have been major changes in the city over the past ten to fifteen years including significant investment in new sports facilities, particularly swimming pools. The education landscape has changed considerably through Building Schools for the Future (BSF) and the emergence of school academies independent of the Local Education Authority. The professional club sector is also becoming increasingly ambitious to play a wider community role and the HE and FE sector has an increasing interest in sport.
2.	National Planning Policy has changed. There is a need to inform the development and implementation of planning policy with robust and up to date evidence of need.
3.	The council is one of many facility providers in an increasingly mixed economy in Bristol and although it has a major role to fulfil both in enabling and delivery, it is not in a position to deliver and provide for all types and levels of sport. The financial backdrop for the city council to provide facilities is more and more challenging.
4.	Bristol and the surrounding area population is increasing at a higher rate than most other parts of the country. The anticipated population growth will create increasing demand on sports facilities. There is a need to ensure that sports facility infrastructure is secured to meet this increased demand.

5.	The need to have a clear, evidenced based strategy to help secure funding.
6.	The need to prioritise capital and revenue investment in the city.
7.	The need to inform the assessment of planning applications.

Appendix C
Sport England methodology for Developing a Sports Facility Strategy



Appendix D

Key Findings

Large projects	
Major facility proposals	<ol style="list-style-type: none"> 1. Swimming pools: additional provision required in central/east of the city. 2. Multi-court sports halls / mini arenas: a network of participation/performance centres located across the City.
Professional clubs	<ul style="list-style-type: none"> • Bristol Rovers are looking to renovate or build new stadium. • Bristol Sport is looking to develop training ground and indoor AGP at Ashton Vale.
Further & Higher Education	UWE, University of Bristol and SGS College have their respective facility plans.
Community centres / projects	There are plans to enhance facilities in community led developments including The Greenway Centre, The Park Knowle and Ambition Lawrence Weston.
Sports specific facilities	
Athletics	There is no need for an additional athletics facility in Bristol. Priority should be given to ensuring the long term sustainability of the Whitehall track and improving accessibility/availability issues at both Whitehall and South Gloucestershire and Stroud college.
Indoor Bowls	EIBA at present do not feel there is a demand for any further Indoor Bowls sites in the LA area.
Outdoor Bowls	There is a need to review the sustainability of existing greens.
Squash	England Squash need to undertake feasibility on enhanced and/or new provision to meet growing population demand.
Indoor Tennis	The University of Bristol have proposals to enhance the indoor Tennis offer at Coombe Dingle. Redland Green Club have plans for two covered courts.
Outdoor Tennis	There is an opportunity to enhance existing courts in areas of the city with low participation rates. Project underway to encourage the use of existing publicly accessible stock and to increase informal play but with LTA fob access.

Golf	Provision at Ashton Court could be improved as could disabled access at all courses.
Gymnastics	There is no need for further specialist gymnastic centres. Priority is to enhance existing provision.
Health & Fitness	Additional provision of centres is needed to meet the Core City average. Enhancements are required in the quality and supervision of some centres.
Multi Use Games Areas	Increased provision is required (if the desire is to provide equitable access to MUGAS), particularly in the north west of the city.
Cycling / Wheels Parks	British Cycling support the development of a closed road circuit, the refurbishment/development of two BMX tracks and the creation of a further two new BMX tracks.
Water Sports	NGB's want to ensure facilities for water sports meet their requirements-particularly around disability access.
Dance / Exercise Studios	Bristol has an above average supply of studio space. Further work is required to identify any programming issues with the multiple users of this space.
Climbing walls	Bristol has a unique situation in that it's 6 climbing walls are complemented by an outdoor crag (the Avon Gorge) within the city.
Boxing facilities	Whitchurch ABA will require a new home when Action Indoor Sports closes.

Appendix E

Aims

The main aims of the strategy are to identify the needs and priorities for sports facilities in Bristol and to **protect, enhance and provide** facility provision to meet these needs.

The strategy will set out a clear action plan for future provision which will aim to:

- Address inequalities in levels of provision.
- Positively influence investment decisions by key stakeholders within and outside the city.
- Attract investment in sport and active recreation facilities through the planning system.
- Increase overall participation levels in sport and active recreation.
- Maximise the opportunity to develop sport and physical activity facilities aligned to an emphasis on getting the inactive active and retaining those who already participate.
- Maximise the opportunity to engage with other services and where possible create multi agency hubs via the co-location of services.
- Better integrate collaborative work with education to ensure that when new schools with indoor sports facilities are created or improvements to sports facilities in existing

schools are implemented – this is accompanied by a comprehensive, practical, enforceable community use agreement.

- Work with existing schools in all sectors to increase the practical availability of their sport and physical activity facilities for community use.

Objectives

The objectives of this strategy are:

- Utilise the Assessment of Needs and Opportunities document and the 2017 consultation process to establish clear strategic priorities and actions for sport and active recreation facility provision in Bristol.
- Create an effective sport and active recreation facility steering group to
 - a. agree and implement the strategy
 - b. develop, manage and implement a prioritised action plan
 - c. keep the assessment of need data up to date
- Ensure that the strategy and underlying evidence base is used to inform BCC planning policy and planning decisions.

Secure investment in sport and active recreation facilities through available funding opportunities.

Appendix F

Multi-court halls facility proposals and opportunities

Lead organisation / location	Proposal
Bristol Sport South East Bristol	<p>An indoor arena with (up to) 3,000 seats set up primarily to cater for home competitive matches for Bristol Flyers but also suitable to accommodate events likely to attract this scale of audience across a range of other sports including, for example:</p> <ul style="list-style-type: none"> • Vitality Netball Superleague • AJ Bell National Badminton League • Boxing <p>This will be located at Ashton Gate and will be designed and managed so that it can function in a flexible form but primarily as a sports arena venue. Alongside this a second 'mini-arena' adjacent or possibly attached to this with a minimum of a triple court (three basketball) hall.</p>
Secondary schools / New Academies	<p>At present, three schools are at various stages of planning/development and are scheduled to be located at:</p> <ul style="list-style-type: none"> • North of the City:

<p>North, central and south locations</p>	<ul style="list-style-type: none"> • East of the City: • South of the City: <p>Subject to funding and space, there may be an opportunity to “piggy back” on the development of these schools, adding significant value to the sport facilities at the schools by building double court halls that are available for community use.</p>
<p>University of Bristol / Coombe Dingle</p> <p>North East Bristol</p>	<p>The University of Bristol has plans to significantly enhance the indoor tennis and sports provision at Coombe Dingle. The new development is likely to see provision for several indoor sports (alongside tennis) and include a double court or larger.</p>
<p>The Park Centre (Knowle West)</p> <p>South Bristol</p>	<p>The Park have plans to redevelop their indoor sports and exercise provision that will see new provision including a sports hall, exercise studio, health and fitness suite and football changing rooms and club room.</p> <p>This large site has potential to accommodate a double court sports hall.</p>
<p>Bristol Storm & Development Partners</p> <p>North Bristol</p>	<p>Bristol Storm and development partners have aspirations to develop a ball court / mini-arena for basketball, volleyball, handball, netball, community and education programme delivery.</p>
<p>There are aspirations for a 4 court sports hall to be added to the Lockleaze/Bonnington Walk sport facility development (North Bristol). This has the potential to be a larger facility and should therefore be considered alongside the above potential developments.</p>	
<p>There is already a multi-court sports hall at City Academy (Central Bristol) that could form part of this proposed network of facilities.</p>	

Appendix B

Summary of all consultation work carried out for the SaARFS

Background

The new draft Sport Facilities Strategy for the city was originally developed in 2013-14. As part of this initial draft a consultation was carried out with all key partners in the city and the respective National Governing Bodies (NGBs) of sport. This included face to face interviews, telephone conversations and a simple paper based survey requesting views and opinions from the NGBs.

The Active Bristol Partnership had the responsibility of completing the strategy process to full adoption by all partners. For multiple reasons it failed to progress the draft Sports Facility Strategy and to set itself up as an independent body. The partnership ended in late 2016. In May 2016 a new Mayor was elected in Bristol- Marvin Rees. The new Mayor took the decision that the city council would take a leadership role in moving sport in Bristol forward and in late 2016 Sport England and Bristol City Council agreed that it was important for the sport facility strategy work carried out in 2013/14 to be reviewed and updated.

Bristol City Council, supported by Sport England, commissioned specialist sport and leisure consultancy, Knight Kavanagh and Page (KKP) in January 2017. It was asked to, where feasible and making use of the background work undertaken, to re-engage with key players in the city and produce an updated consultation document to reflect the current position, new local and national agendas and the contemporary views of key partners.

This strategy has therefore, been produced based upon the work carried out in 2013/14 plus extensive consultation with a range of key partners and stakeholders held between January and March 2017. Its focus is to provide clear direction to all partners in Bristol and its surrounding areas so that together they can maximise the use of existing facilities and plan and deliver the range of high profile and community based sport and leisure facilities that Bristol requires.

Scope of 2017 consultation

Consultation was undertaken by KKP leisure consultants between January 3rd and March 31st 2017. It encompassed:

- A review of facilities planning work previously undertaken.
- An assessment of the current strategic drivers and context for Bristol and its residents, including its status as the European City of Sport 2017.
- An assessment of available information about and perceptions of the quality, distribution and programming of facilities in the area.

- Ascertaining the views of facility owners/operators to identify their sports and active recreation needs and opportunities.
- Ascertaining the views of NGBs, key stakeholders, major sports clubs/bodies in respect of their ambitions for their sports and related programmes and facilities in the City.
- Gauging the views and potential contribution of key strategic players including the new mayor.
- An evaluation of the opportunity for new, innovative and/or enhanced provision across the area – linked to potential developments at Ashton Gate, the new secondary schools proposed in the city and the ambitions of the University of Bristol.
- Consideration of options to leverage potential private sector funding.
- Consideration of mechanisms that might enable existing (and new) sport and physical activity opportunities to be made more accessible to a wider cross section of the Bristol population as per key City policy drivers.

List of people consulted face to face in 2017

Agency	Names (Redacted)
Bristol Sport Foundation	
Everybody Active	
University of Bristol	
Wesport	
British Cycling	
Sport England	
Lawn Tennis Association	
Badminton England	
Bristol Jets (Badminton)	
Access Sport	
WISE Campus, SSG	

University of the West of England	
Bristol Rovers Foundation	
Bristol City Foundation	
Bristol Storm & Community Sport	
Bristol Sport Foundation	
Mayor's Office	
South Bristol Sports Centre	
South Gloucestershire Council	
England Basketball	
Bristol City Council	
Bristol City Council (Public Health)	
Bristol City Council (Sport & Physical Activity Development Manager)	
Bristol City Council (Sport Strategy Officer)	
Bristol City Council (Education)	
Bristol City Council (Sport Development Officer)	
Bristol City Council (Transport)	
Community of Purpose	
Various sports representatives (at mayoral sports seminar)	Includes athletics, rugby and other sports

Public consultation- December 2017 to February 2018

A full public consultation was undertaken following the completion of the draft strategy document, supporting evidence base and action plans. An equality impact assessment (EqIA) has been ongoing throughout the strategy development and this was used to inform the design and distribution of the public consultation. The aim was to try to ensure we

received feedback from all parts of the Bristol population and relevant user groups. The public consultation had the following features:

- Online survey designed so people could comment on the facilities most relevant to them, without having to complete pages of information.
- Online survey publicised through extensive list of council equality group contacts.
- Online survey publicised extensively through council and partner communication channels.
- Paper versions of survey distributed at several council leisure facilities.
- Three month consultation period designed to ensure maximum opportunity for third sector organisations and individual members of the public to respond.

Public consultation summary of findings

A total of 461 responses were received with the majority choosing not to answer the questions on the overall strategy document.

A table to show the responses to the main strategy document

Total responses	461
Strongly agree	4
Agree	15
Neither agree nor disagree	21
Disagree	20
Strongly disagree	18
Not answered	383

Out of a total of 38 respondents who disagreed or strongly disagreed with its contents, 22 people commented specifically on not closing Jubilee Pool. The strategy document highlights options for Jubilee Pool.

A table to show the breakdown of the disagree / strongly disagree respondents

Total disagree / strongly disagree	38
Commented specifically on Jubilee Pool	22
Commented on swimming provision in general	7
Made no comments at all but answered swimming section only	3
Made comments about other sports provision	2

Made no comments at all or answered any section

4

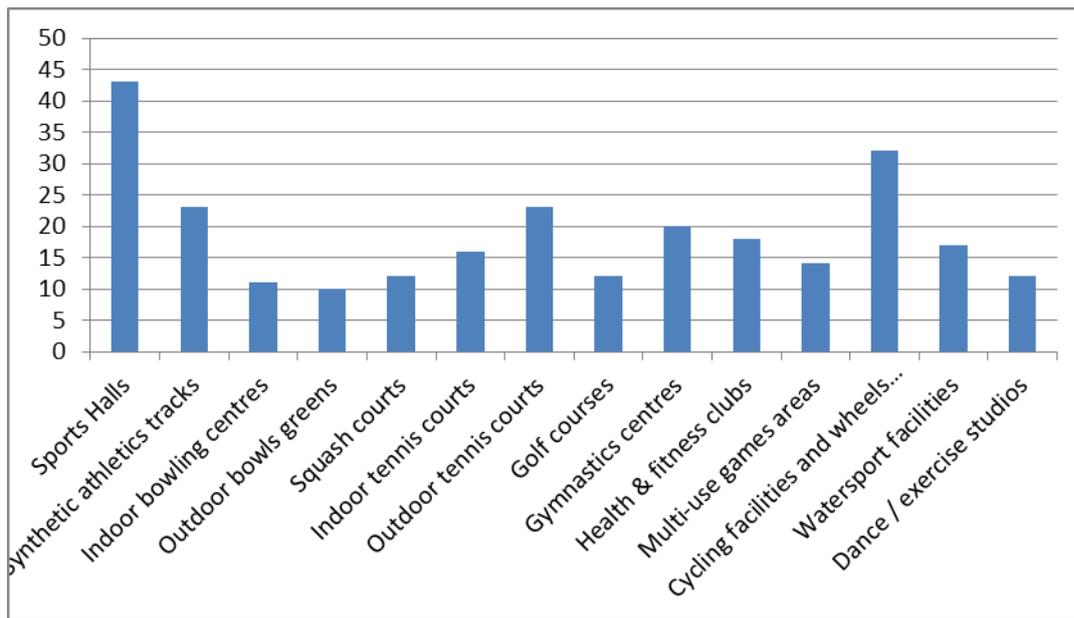
This table suggests that 32 out of the 38 “disagree / strongly disagree” respondents had a swimming focus.

The majority of the responses received were made on specific facilities with the largest number of responses being made on swimming pool provision. The other highest responses were on Sports halls and Cycling facilities/Wheels Parks. Both of these facility types figure prominently in the draft strategy and comments made are generally supportive of the proposals.

A table to show the number of responses for each facility type

Sport facility	No. of responses
Sports Halls	43
Swimming pools	289
Synthetic athletics tracks	23
Indoor bowling centres	11
Outdoor bowls greens	10
Squash courts	12
Indoor tennis courts	16
Outdoor tennis courts	23
Golf courses	12
Gymnastics centres	20
Health & fitness clubs	18
Multi-use games areas	14
Cycling facilities and wheels parks	32
Watersport facilities	17
Dance / exercise studios	12

A bar chart to show facility type responses (not including swimming)



N.B. Figures are potentially affected by how proactive relevant National Governing Bodies were at encouraging members to respond

The number of responses to the swimming pool section highlights the importance of swimming pool provision in the city. Of the 289 swimming pool responses, 160 made comments specifically referring to Jubilee swimming pool. A further 54 made comments referring to swimming in general.

Swimming pool responses	289
Responses commenting on Jubilee pool	160
Responses commenting on swimming in general	54
Responses with no comments	75

The large number of comments made on Jubilee swimming pool reflect the historical issues around this pool and the ongoing challenge of making the facility sustainable.

54 people commented on swimming in general with a further 75 responding to the swimming section but making no comments. This suggests that even without the specific Jubilee pool responses, swimming pool provision is the topic of most interest to the respondents of the consultation. The main theme to be drawn from the comments is a need for more pool space in general in the city.

Public consultation outcome

When undertaking any further public consultation work or when developing new facility proposals there is a need to consider and undertake more effective ways of engaging with the various equality groups that are under-represented in the SARFS public consultation survey responses.

Responses from the public consultation do not significantly affect the proposals related to major facilities or other actions and opportunities identified in the draft strategy. The issue of swimming pool provision is well documented in the city and the responses/information gained through the consultation will be added to the large amount of information on the topic already gathered.

The overall direction of the strategy remains unchanged. As a result of public consultation the narrative in some parts of the document has been amended to reflect more accurately the current position.

Appendix E Bristol City Council Equality Impact Assessment Form

Name of proposal	Bristol Sport & Active Recreation Facility Strategy (SaARFS)
Directorate and Service Area	Neighbourhoods / Public Health / Healthy Lifestyles Healthy Place
Name of Lead Officer	Guy Fishbourne

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?

Aims and objectives of the strategy

The main aims of the strategy are to identify the needs and priorities for sports facilities in Bristol, to **protect, enhance and provide** facility provision to meet these needs and establish clear strategic priorities and actions for sport and active recreation facility provision.

Vision

Sports and physical activity facilities in Bristol will be inspirational, internationally recognised, of high quality and will underpin the drive to make the City a place where opportunity to be physically active is locally accessible and affordable to all.

In simple terms the work is about the number, quality, accessibility (is there one local to me and can I use it) and availability (is it free/bookable when I want to use it) of built sport facilities in the city. What we have now and what we might want and need in the future.

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?

Sport England provide a comprehensive methodology to follow that helps shape a reasonably clear picture of all the built sport facilities in the city. This assessment, undertaken by council officers, looked at the quantity, quality, accessibility and availability (where possible) of the facilities.

The range of sports facilities covered includes:

- Sports halls
- Swimming pools
- Athletics tracks
- Indoor and outdoor bowls
- Squash courts
- Indoor and outdoor tennis
- Golf courses
- Gymnastics centres
- Health and fitness suites
- Multi-use games areas (MUGAs)
- Cycling facilities and wheel parks
- Watersports centres of all types
- Studios

“Quantity” and “quality” of the facilities are self-explanatory.

“Accessibility” refers to the location of the facilities (geographical spread) and physical access to the facilities (transport routes, car parking). The facilities are also assessed in terms of physical accessibility for users. This covers car parking, lighting and disabled access into and throughout the building.

“Availability” refers to the use of the facility, how much it is used, how much it could be used and whether it could be used more. The management and ownership of the facility is important here.

Quantity, quality and accessibility have been comprehensively assessed and analysed. Availability of facilities in terms of public access is also assessed and analysed. However actual usage (who is using the facilities and when) is only considered with Local Authority owned facilities as privately owned facilities do not readily share this data.

Added to this audit of facilities is qualitative information from the National Governing Bodies of sports that use these facilities and also key partners in the city (facility providers, third sector providers, deliverers and other public sector agencies)- gathered via a vigorous consultation process.

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

The data gathered to date includes a basic physical assessment of the facility stock. Data on users of local authority owned facilities is also available.

What is lacking is qualitative information from users of the facilities and from potential user groups that do not use the facilities (i.e. the reasons/barriers to them using the facilities). There is also a lack of information on who is using the privately owned facilities.

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

Due to the number and variety of facilities the only reasonable way to gather information from the communities and user groups that could be affected is through a public consultation.

This is planned to take place over a three month period and will target both specific equality groups and various user groups of all the facilities.

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.

	Does the proposal have any potentially adverse impacts on people with protected characteristics?	Can these impacts be mitigated or justified? If so, how?	Does the proposal create any benefits for people with protected characteristics?	Can they be maximised? If so, how?
Age	The need for all facilities to be cost effective may see reductions in subsidies for some age-related user groups.	More information is required on whether subsidies are required for certain user groups and whether their removal will be a major barrier to participation.	There is an opportunity for age related user groups to voice their concerns on accessibility / programming issues and also to have a say in what new facilities are required to meet the city's needs.	Effective consultation should ensure various age related user groups are engaged in this process.
Disability	A lack of engagement by user groups with disabilities could potentially see any new actions adding to barriers (to using	Effective consultation should ensure that these impacts are mitigated.	There is an opportunity for user groups to voice their concerns on accessibility / programming issues	Effective consultation should ensure user groups are fully engaged in this process.

	facilities) or missing simple opportunities to reduce barriers.		and also to have a say in what new facilities are required to meet the city's (and their) needs.	
Gender re-assignment	No obvious considerations.		There is an opportunity for user groups to voice their concerns/barriers on any issue related to sports facility use.	Effective consultation should ensure user groups are fully engaged in this process.
Marriage & civil partnership	No obvious considerations.			
Pregnancy and maternity	A lack of engagement by pregnancy/ maternity user groups could potentially see any new actions adding to barriers (to using facilities) or missing simple opportunities to reduce barriers.	Effective consultation should ensure that these impacts are mitigated.	There is an opportunity for user groups to voice their concerns on accessibility / programming issues and also to have a say in what new facilities are required to meet the city's (and their) needs.	Effective consultation should ensure user groups are fully engaged in this process.
Race	A lack of engagement by user groups could	Effective consultation should ensure that	There is an opportunity for user	Effective consultation should ensure user

	potentially see any new actions adding to barriers (to using facilities) or missing simple opportunities to reduce barriers.	these impacts are mitigated.	groups to voice their concerns on accessibility / programming issues and also to have a say in what new facilities are required to meet the city's (and their) needs.	groups are fully engaged in this process.
Religion or belief	A lack of engagement by user groups could potentially see any new actions adding to barriers (to using facilities) or missing simple opportunities to reduce barriers.	Effective consultation should ensure that these impacts are mitigated.	There is an opportunity for user groups to voice their concerns on accessibility / programming issues and also to have a say in what new facilities are required to meet the city's (and their) needs.	Effective consultation should ensure user groups are fully engaged in this process.
Sex	No obvious considerations.		There is an opportunity for user groups to voice their concerns/barriers on any issue related to sports facility use.	Effective consultation should ensure user groups are fully engaged in this process.

Sexual orientation	No obvious considerations.		There is an opportunity for user groups to voice their concerns/barriers on any issue related to sports facility use.	Effective consultation should ensure user groups are fully engaged in this process.
General comments				
There are 15 different types of sports facilities with over 100 different sports / activities taking place within them. This therefore covers the majority of the population and will include people with all the protected characteristics. The primary goals are identifying and reducing barriers to using current facilities and ensuring any new facilities built do not have these barriers.				

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 equality impact assessment was used to inform the design and distribution of the public consultation. The aim was to try to ensure we received feedback from all parts of the Bristol population and relevant user groups. The public consultation had the following features:

- Online survey designed so people could comment on the facilities most relevant to them, without having to complete pages of information.
- Online survey publicised through extensive list of council equality group contacts.
- Online survey publicised extensively through council and partner communication channels.
- Paper versions of survey distributed at several council leisure facilities.
- Three month consultation period designed to ensure maximum opportunity for third sector organisations and individual members of the public to respond.

Continued...

We received 461 responses to the public consultation.

Age	Number	Gender	Number	Are you transgender?	Number
Under 18	4	Female	292	Yes	0
Age 18 to 24	3	Male	125	No	382
Age 25 to 44	222	Prefer not to say	13	Prefer not to say	33
Age 45 to 64	158	Not answered	31	Not answered	46
Age 65 to 74	24		461		461
Over 75	7				
Prefer not to say	11				
Not answered	32				
	461				

What is your ethnicity?	Number	What is your religion?	Number	Are you disabled?	Number
Asian / Asian British	6	Any other religion nor belief	4	No	370
Black / Black British	3	Buddhist	3	Yes	24
Mixed / Dual Heritage	6	Christian	124	Prefer not to say	34
Not answered	34	Hindu	3	Not answered	33
Other Ethnic Group	2	Muslim	1		461
Other White	16	No religion	243		
Prefer not to say	38	Not answered	34		
White British	356	Prefer not to say	49		
	461		461		

What is your sexual orientation?	Number
Heterosexual	340
Lesbian, Gay or Bisexual	17
Prefer not to say	69
Not answered	35
	461

The data above suggests that (despite the efforts undertaken through the public consultation) there is still a need to better engage with people under the age of 25 and over the age of 64, people who are disabled, more ethnic minority groups and people with different religious beliefs. When filtering the survey responses and comments received by equality group variables, no consistent themes have been identified specific to that equality group. However there are some individual comments that offer a starting point for further exploration.

A person under 18 comments on a lack of accessible MUGA facilities, poor water sport facilities, not enough accessible indoor tennis provision, the poor condition of some public tennis courts and a lack of accessible fitness facilities for young people. An individual comment on the strategy work from a person describing themselves as “currently a relatively inactive pensioner using a wheelchair” highlights several issues around facility provision for older and disabled users.

The SaARFS has a broad remit looking at the quantity, quality, accessibility and availability of facilities. It is not intended to identify and resolve all barriers to physical activity participation in the city for all sections of the population. It does not consider initiatives or programmes aimed at doing this. As such the need for more information on barriers to participation at specific facilities for specific user groups is recognised as very important. However it does not significantly change the direction of the strategy or the identified strategic priorities.

4.2 What actions have been identified going forward?

- Considering the stated aims, objectives and vision of the SaARFS and the lack of responses to the public consultation from certain equality and user groups, some targeted focus groups would add useful qualitative data from these groups to the substantial quantitative information we already have on facility provision in Bristol.
- When undertaking any further public consultation work or when developing new facility proposals there is a need to consider and undertake more effective ways of engaging with the various equality groups that are under-represented in the SaARFS public consultation survey responses.
- Considering the number of facilities identified as having below average disability access there is a need to work with relevant user groups to prioritise actions that will have the biggest impact on reducing barriers to participation at Bristol sport and active recreation facilities for this user/equality group.
- There is a need to gather attendance data on equality groups from the facilities that Parkwood Leisure operate on behalf of the city council (Hengrove Leisure Centre and Jubilee Swimming Pool).
- There is a need to work with partners in the private sectors to improve understanding of who is and is not accessing relevant facilities in the city.

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

The impact of the strategy will be measured through the achievement of it's aims, objectives and vision. This is more easily quantified through the delivery of individual actions stated in the action plans.

Two simple measures of success are seen in the Bristol Quality of Life Survey. Firstly there is an indicator which measures "satisfaction with local leisure provision". Also relevant is the number of people who identify as reaching the Chief

Medical Officer's weekly physical activity guidelines.

In terms of the actions identified above in the EqIA, these will be added to the SaARFS action plans to be undertaken as priority actions.

Service Director Sign-Off: 	Equalities Officer Sign Off:  Duncan Fleming
Date: 18/04/18	Date: 13/4/18

Eco Impact Checklist

Title of report: Sport and Active Recreation Facility Strategy (SaARFS)

Report author: Guy Fishbourne

Anticipated date of key decision: July Cabinet

Summary of proposals: The purpose of this report is to inform Cabinet members that public consultation on the SaARFS has now been completed. The consultation received 463 responses and the overarching response was agreement with the key findings and strategic direction of the strategy.

Officers are now seeking for the final SARFS to be formally adopted by the Council.

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/ + ive	<p>Travel is a key contributor to the emission of climate changing gases.</p> <p>Development of any new facilities may increase traffic in the locality.</p>	<p>Consider travel implications when deciding on which sites to build or improve.</p> <p>Consider promoting sustainable modes of travel (i.e. bike provision and lift sharing). This will be considered in more detail at individual project level when they go through the decision making process.</p>
Bristol's resilience to the effects of climate change?	Yes	+ve	Where hard standing facilities are introduced this could result in loss of green space.	<p>Ensure all new hard standing facilities are made of porous material and include sustainable drainage techniques.</p> <p>This will be considered in more detail at individual project level when they go through the decision making process.</p>
Consumption of non-renewable resources?	Yes	+ ive	Any closure or refurbishment of sports facilities may reduce energy and water consumption.	<p>Energy and water efficient fittings, leak prevention, and robust materials should be considered during refurbishment/ maintenance of facilities. For example, LED lighting, water efficient</p>

				taps, and smart flushing urinals. This will be considered in more detail at individual project level when they go through the decision making process.
Production, recycling or disposal of waste	Yes	-ive	Any closure or refurbishment of sports facilities could produce demolition or construction waste.	Ensure waste hierarchy is used and waste is disposed of legally. This will be considered in more detail at individual project level when they go through the decision making process.
The appearance of the city?	Yes	+ive	New sports facilities will have a visual impact upon the city.	New sports facilities to be built appropriately with the surroundings and mitigate negative visual appearance where possible. This will be considered in more detail at individual project level when they go through the decision making process.
Pollution to land, water, or air?	Yes	-ve	New buildings and facilities could create discharge. New sports facilities will create increased neighbourhood noise from sports activities.	All sites to have accurate drainage plans and all effluent discharge will be discharged to foul sewer. Sports activities to be carried out with consideration of noise to neighbours and within acceptable times. This will be considered in more detail at individual project level when they go through the decision making process.
Wildlife and habitats?	Yes	-ve	Any new sports facility building will have an impact upon wildlife.	Create opportunities for creating new green spaces or tree planting. Where floodlighting is to be introduced to carry out effective impact assessments, including bat surveys. This will be

				considered in more detail at individual project level when they go through the decision making process.
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Summary of impacts and Mitigation - to go into the main Cabinet/ Council Report

The scale of impacts of this proposal is not clear until final decisions are made. There are potential travel impacts for users from new and relocating sports teams. Closing or refurbishing facilities could also reduce energy and water use, but may involve some waste during works.

Mitigation measures include:

- considering travel when developing new facilities
- considering energy and water efficient appliances and applying the waste hierarchy when refurbishing or maintaining facilities
- considering drainage, pollutant content, maintenance reduction, and waste when developing hard standing facilities.

A full Eco IA will be completed for each project when it is finalised and goes through the decision making process, there will be significant impacts associated with each project.

Checklist completed by:

Name:	David Hudgell
Dept.:	Public health (Sport)
Extension:	07795446078
Date:	17 th April
Verified by Environmental Performance Team	Nicola Hares – 20/04/18



Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Home Care Commissioning - Improving the supply and quality of commissioned homecare in the City.		
Ward(s)	<i>All</i>		
Author: Lucia Dorrington	Job title: Strategic Commissioning Manager, Adult Social Care		
Cabinet lead: Helen Holland	Executive Director lead: Jacqui Jensen, Interim Head of Paid Service		
Proposal origin: <i>BCC Staff</i>			
Decision maker: Cabinet Member			
Decision forum: <i>Cabinet</i>			
Purpose of Report			
<p>The Council proposes to make a number of short and medium-term changes to commissioned homecare that allows Adult Social Care to:</p> <ul style="list-style-type: none"> • Continue meeting Care Act requirements to facilitate a robust and sustainable local care market • Align with wider objectives under the Adult Social Care Better Lives Programme and the new Adult Social Care Market Position Statement to maximise people’s independence at home and improve people’s wellbeing • Build on existing commitments to care workers and the care worker economy by further investment in workforce development, the Proud to Care Campaign and work towards of Stage 1 of the Unison Ethical Care Charter • Better support intermediate care services to provide the right capacity and services for people leaving hospital • Reduce over reliance on residential care home placements through increased supply of quality homecare to maximise people’s independence at home • Demonstrate the Council’s commitment to home care by having an hourly rate that places Bristol City Council among the best payers in the Country • Build in the flexibility of one -off funding to work directly with the care sector to develop sustained improvements in staff retention, training and new ways of working such as use of assistive technology. <p>This is in the context of a longer –term transformation of Adult Social Care as set out in the Better Lives Programme. It is evident from work internally and a recent analysis by nationally commissioned consultants Newton Europe that a lack of available home care in the City has been a key issue that the local health and social care system has faced. It has impacted on Re-ablement capacity and wider intermediate care capacity out of hospitals and has led to an over reliance on residential and nursing home care.</p> <p>There is emerging evidence of reduced unable to place lists following last year’s hourly rate rise and through additional providers being commissioned by the Council in recent months. Commissioners are confident that provider relations with the home care market are improving and regular and transparent engagement with the sector about short, medium and longer-term commissioning intentions has improved commissioner/ provider understanding. It is hoped that this can be built upon into the future.</p> <p>However, should the recommendations in this report not achieve the required outcomes, particularly over the Winter 2018/2019, The Council will give further consideration to giving notice on all the current contractual arrangements and re-tendering a whole system home care service for the City prior to the end of the existing</p>			

contractual period for main and secondary providers.

Evidence Base:

Demand for adult social care now and in the future is increasing as the population lives longer with more complex conditions (e.g. people living with dementia, learning disabilities or mental ill health). The Care Act 2014 brought new responsibilities for local authorities, including new eligibility criteria for services, support for carers, new areas of work around information, advice, prevention, support for the care market, and safeguarding. This increase in demand and responsibilities comes at a time of significantly reduced funding. Nationally, there is particular pressure on Local authorities to reduce delayed transfers of care (DTOCs) from hospitals to free up pressure on acute secondary care services and there are significant challenges for the health and social care workforce in terms of recruitment and retention of care staff.

As in some other local authority areas, Bristol needs to reduce DTOCs. To help improve performance in this area, the Local Government Association and NHS England has provided support from Newton Europe Consultancy and short-term funding to directly address the DTOC issue. Bristol now needs to consolidate its improving DTOC position and have a healthy home care supply for Winter.

Simply improving DTOC by placing increased numbers straight from hospital into long term placements is not an option as it can result in poor outcomes for patients who could have had access to rehabilitation and re-ablement, nor is it affordable within existing budgets. The Care Act is clear that Local Authorities need to focus on a person's wellbeing and maximising their independence.

Therefore, Bristol Adult Social Care is working directly with the local Clinical Commissioning Group (CCG) to improve the joint intermediate care offer so that everyone who requires a supported discharge from hospital has the opportunity to receive a period (up to 6 weeks) of intermediate care. During which time, once stabilised out of hospital, the person can be assessed for any further ongoing support required in a community setting. These services are jointly funded through the Better Care Fund and include Re-ablement, Community rehabilitation beds and a proposed Home First Service which brings together community therapists with personal care to be able to take patients out of hospital quickly and safely with clinical support. The aim is to work with patients to re-able and rehabilitate them to meet their own goals and personal outcomes. For these services to be effective, they must be able to guarantee a seamless flow out into further ongoing care when required. They will rely on the timely supply of ongoing long term Home care capacity following a Care Act assessment from the Discharge to Access Social Care Team. This is the link to the proposed homecare changes set out in this report.

By using an intermediate care offer (Tier 2) from the hospital, hospital flow is being aligned with the Better lives objectives to support people to continue to manage in their communities through Tier 1 and 2 support and services, preventing and delaying the need for more formal long term packages of care to be required. Better Lives aims to meet needs and improve outcomes through, among other things, the commissioning of quality home care services. The programme will manage targeted investment of the Improved Better Care Fund to support these aims and to address specific DTOC reduction targets attached to its allocation. Investment in commissioned home care is one of the Better Lives key targeted investments.

The Council is also supporting the Proud to Care Campaign which champions and promotes the care and support industry. Workforce development is important to the Council and we are committed to working in partnership with providers to support them to recruit and retain a good quality workforce in order to meet the needs of citizens and outcomes in the community for as long as possible. Through these changes, the Council wishes to encourage its homecare providers to pay increased hourly rates for staff. These rates need to be commensurate with rates of pay and terms and conditions for in-house care staff and other staff working in care in Bristol. Analysis of this is underway. The Council is also committed to implementing Stage 1 of the Unison Ethical Care Charter as part of these developments.

Current supply of homecare

Currently the Council does not have sufficient supply of commissioned home care to meet all current and projected demand. This is impacting on the Council's ability to meet demand out of hospital (DTOCs) and in the community. A commissioning model for homecare has been in place since August 2015. This model needs to be revised in order to improve supply and to support care staff retention and recruitment to increase the quantum and quality of homecare needed in Bristol.

Commissioners have worked with providers, partner and with the Adult Care and Support DMT to develop and consider options for change.

The following proposals aim to improve the performance of commissioned homecare providers and positively impact on the City's DTOC figures and community based homecare in the short to medium term, so that sufficient supply of care is commissioned ready for winter 2018/19 and that plans align with the longer term transformation of homecare in the context of whole system change.

Co-production with Providers on proposals

There has been extensive engagement with home care providers on these proposals and they all align to the new Council Adult Social Care Market Position Statement which sets out how commissioners are looking to support and develop the local care market as a whole.

Following approval of these recommendations, commissioners will continue to work with providers in the City to develop these proposals further. The Council wants to work in a collaborative way with providers to improve access to commissioned homecare services in the community and to reduce DTOC rates in the City.

Recommendation 1 –Rate Rise

Increase the hourly rate paid to homecare providers in Bristol to £17.68 as of August 13th 2018 and £18.20 from 1st April 2019 to increase service capacity through improved pay rates and conditions for homecare workers and financially viable contracts for providers.

Recommendation 2 – Improved Performance

Aligned to the rate rise, amend existing main and secondary home care contracts to include tighter expectations around increased staff pay rates through an addendum to contract and new performance targets for hospital discharge rates, hospital re-starts, taking packages from Re-ablement and increase in overall take up of homecare packages in zones.

This will apply to other providers not on main and secondary contracts as part of this process if these providers agree to new terms and conditions. If these providers don't accept these conditions, BCC won't pay the increased hourly rate. This is important as commissioners look to apply consistency and equity for home care rates and expectations on quality of service delivery.

Recommendation 3 – Interim Arrangement for other providers (legacy providers) and new providers until the New Framework Goes Live

In order to deliver Recommendations 1 and 2, there will be revised terms and conditions for existing (legacy providers) and new providers not on main and secondary contracts pending the establishment of the new Framework that will put all providers on comparable terms and conditions.

Recommendation 4 - Increase Preferred (Main and Secondary) Providers

Tender for more secondary providers in zones where there is an undersupply of such providers and/ or high demand for homecare. This boosts supply of homecare delivered by main and secondary providers on agreed contracts with the new hourly rates and tighter performance measures. These providers continue to have first and second offers of homecare packages in the zones in which they are main and secondary providers.

There is also a need to re-tender for a main provider in 3 zones of the City as the current arrangement is temporary for one year.

Recommendation 5 – Establish a New Home Care Framework

Develop and implement a (Quality) Framework for commissioned homecare provision, replacing old contracts with legacy providers in the City and the current accreditation process for new providers. This enables the Council to continue safely commissioning from these providers and ensures supply. It gives non main and secondary providers opportunity to benefit from increased hourly rates and the proposed workforce innovation opportunity in return for checks on quality and targets around increased supply of homecare.

Currently about 35 providers operate under old contracts that were accredited by BCC over time. Quality checks are needed and contracts should be modernised and made consistent. This is a process of due diligence on the part of BCC and will be done in a rolling programme between Summer 2018 and Spring 2019 so that providers can get onto this Framework relatively quickly and easily and continue delivering care or start delivering care for BCC under improved terms and conditions.

Once this Framework is in place, it has a life beyond the main and secondary provider contracts which come to an end in 2020, so it will form the bedrock of a new, fully re-commissioned homecare service in 2020. Open Frameworks open up supply and the Council can make block and spot purchases from it as needed.

Recommendation 6 – Innovation Opportunity

Create an innovation opportunity to further increase supply of and outcomes from homecare through one off funding that can be used to pump prime staff recruitment and retention, training and to pilot new ways of working with providers. This will be funded from Improved Better Care Fund, and detailed design work on this is currently being carried out with engagement and input from providers. This Fund will not be focused on additional funding for individual providers but will support and address sector issues. In line with [IPC Report](#) "Commissioners should be willing and able to work in partnership with their providers of domiciliary care to develop programmes which assist with the recruitment and retention of staff". The report continues that "Where there are local initiatives that are led by commissioners it is usually experienced as a positive act of partnership when councils and providers come together to meet these challenges".

Recommendation 7 – Review of Direct Payments

There will be a review of existing direct payment policies to ensure consistency of approach and price paid with commissioned homecare. People taking a direct payment must have their needs met under the Care Act in the same way as those having their services commissioned by the Council. However, direct payments can lead to greater levels of personalisation and more innovative ways of meeting those needs through the use of personal assistants and greater engagement with the voluntary sector.

Proposal 8 – Building on these Changes

Develop a longer-term transformation plan for commissioned homecare as of 2020 as part of broader health and social care system changes, alongside these short to medium term measures to ensure that there continues to be enough home care capacity across the health and social care system. The long term plan also needs to dovetail with investment in alternatives to long term care packages including the new Home First Service and the expansion of the

in-house Re-ablement Service. Home Care providers will likely become part of this offer over time as skills are further developed in Re-ablement, use of assistive technology, ability to act as a trusted reviewer of care and adjusted support plans with social workers to achieve outcomes beyond sustaining a person at home with traditional style home care.

The above proposals do not include plans to transfer contracts from incumbent providers to new providers and therefore TUPE is less likely to occur. In circumstances where TUPE may apply, staff will be protected through TUPE transfer arrangement.

Recommendations:

That Cabinet :

1. Agrees to Increase the hourly rate paid to homecare providers in Bristol to £17.68 as of August 13th 2018 and £18.20 from 1st April 2019
2. Delegates authority to the Service Director for Adults Care and Support in consultation with the Cabinet Member for Adult Social Care to amend existing main and secondary home care contracts as set out in the report
3. Agrees to increase the hourly rate to all other (legacy and new) providers in the City pending the establishment of the new Framework. This will be done under revised terms and conditions.
4. Delegates authority to the Service Director for Adults Care and Support in consultation with the Cabinet Member for Adult Social Care to tender for more secondary providers in zones where there is an undersupply of such providers and/ or high demand for homecare
5. Delegates Authority to the Service Director for Adults Care and Support in consultation with the Cabinet Member for Adult Social Care to re-tender for a main provider in 3 zones of the City as the current arrangement is temporary for one year
6. Delegates authority to the Service Director for Adults Care and Support in consultation with the Cabinet Member for Adult Social Care to Develop and implement a new Quality Framework for commissioned homecare provision
7. Approves one off funding from the Better Care Fund to create an innovation opportunity to further increase the supply of and outcomes from homecare through pump priming staff recruitment and retention, training and piloting new ways of working with providers
8. Notes the review of existing direct payment policies to ensure consistency of approach and price paid with commissioned homecare
9. Notes the development of a longer-term transformation plan for commissioned homecare as of 2020 as part of broader health and social care system changes, alongside these short to medium term measures to ensure that there continues to be enough home care capacity across the health and social care system.

Corporate Strategy alignment: This proposal aligns with the ‘Empowering’ and ‘Caring’ strategic themes.

City Benefits: This proposal benefits the City as it is an investment in homecare and it is an ‘Invest to Save’ to reduce spend over time on more intensive forms of care such as residential care. It should improve outcomes for citizens by enabling people to live independently in their home for as long as possible. It also supports improvements to hospital discharge to improve patient flow and fits with the desire to reduce the number and size of residential and nursing packages enabling people to receive care in their own home for longer.

Consultation Details: These proposals have been discussed with providers and key stakeholders within the Care and Support Adults Directorate. They have been through Adult Care and Support DMT, EDM and CLB. These proposals have also been discussed and approved at Cabinet agenda briefing with the Cabinet Member for Adult Social Care Cllr Helen Holland and with Cllr Helen Godwin.

Revenue Cost	£N/A	Source of Revenue Funding	
Capital Cost	£ N/A 0	Source of Capital Funding	
One off cost <input type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

Finance Advice: It is an imperative that Bristol City Council secures increased capacity from Home Care across the City to improve hospital discharge performance and deliver on the aspirations of the Better Lives Programme of increasing the proportion of service users who are supported at home rather than in a care home. The increase in rate implemented in November has improved supply of home care but has not led to the increase in capacity needed to improve hospital discharge. There is also recognition that recruitment of care workers is challenging in the Bristol economy and often it leads to the same staff moving between providers rather than new staff, and care staff leaving to work in the tourism and hospitality sector where pay rates are often comparable. Further investment in home care is to encourage providers to increase capacity, improve pay and conditions through paying care workers as a minimum the real living wage of £8.75 per hour and move towards a salaried pay model as the norm, where appropriate. The investment in home care is made up of an increase in the hourly rate paid for care delivered from £17.04 per hour to £17.68 per hour from August 2018 and signalling the continued investment in home care a further increase to £18.20 per hour from April 2019. That rate will remain in place until the end of the home care contract in August 2020. The estimated cost of these increases on the current cost base of £12.2m over the remainder of the contract is as follows:

Band analysis		2018/19 £	2019/20 £	2020/21 £
Increase £17.04 to £17.68	Part year 13/8/18 to 31/3/19	288,850		
	Full Year		458,389	
Increase £17.68 to £18.20	Full Year		372,440	
	to August 2020			155,100
Total Costs		288,850	830,829	155,100

These costs will be met from a corporate inflation contingency held centrally.

To accelerate and incentivise providers to make necessary changes, a proportion of the Improved Better Care Fund (iBCF) that has been earmarked for improving hospital discharges will be invested in innovation on a zone basis. The sum and method of distributing the investment has still be determined. This investment will be assigned on a set of agreed outcomes and criteria and monitored based on key metrics where non delivery on these metrics will lead to withholding any future investment or recovery of any investment made.

Finance Business Partner: Neil Sinclair, May 10th 2018.

2. Legal Advice:

Recommendation 1 - For procurement purposes the proposed price increase for homecare providers is unlikely to be viewed as a significant change. In addition, if any challenge were made, the Council will be able to demonstrate that it will shortly be commencing a new light touch procurement process to put other (legacy) providers and any new provider on a Framework.

Recommendation 2 -Contract variations will be needed in order to include new performance measures. Consideration should be given to robust contract management in order to ensure that the performance targets are met.

Recommendation 3 - This will be done by a short term contract that legacy and new providers will need to sign up to in order to receive the enhanced hourly rates and to benefit from the investment opportunity.

Recommendation 4 and 5 - There should be no legal challenge to the issue of a secondary provider tender or main provider tender if needed for Zones 1, 2 and 3 as the Council has done this previously under procurement regulations.

Recommendation 6 - The Council must ensure that it complies with the Public Contracts Regulations 2015 requirements for a light-touch procurement when tendering for the proposed new Framework. There is a risk of a procurement challenge if the Council continues to directly award to legacy providers without a tender process. The risk of challenge is, however, minimised provided the Council promptly commences in good time a new light touch procurement for homecare services. Legacy providers should sign a new Framework and amended contract in order for the Council to be able to continue to place with them, monitor their performance, and pay the increased hourly rate.

Recommendation 7 - The operation of the innovation opportunity will be achieved through either development of a contract or grant agreement. This will need careful contract drafting and robust contract management.

Recommendation 8 - There are no legal implications for this recommendation.

Recommendation 9 - It is likely that a further cabinet report will be required once the transformation plan has been completed and consulted upon.

Legal Team Leader: Eric Andrews and Kate Fryer, May 15th 2018

3. Implications on ICT: There are no immediately identifiable IT Implications within this initiative. However, any proposals that may require sharing of data will need to be considered with any contracts and must comply with BCC policies and relevant legislation

ICT Team Leader: Ian Gale, Head of ICT, May 10th 2018

4. HR Advice: There are no HR implications for Bristol City Council staff in relation to the proposals. However there may be a knock on effect to the wider workforce across the City that we should be mindful of.

HR Partner: Lorna Laing, HR Business Partner, 22nd June 2018

EDM Sign-off	Jacqui Jensen	April 25 th 2018
Cabinet Member sign-off	Cllr Helen Holland, Cllr Godwin, Cllr Keen	May 8 th 2018
CLB Sign-off	Jacqui Jensen	May 15 th 2018
For Key Decisions - Mayor's Office sign-off	Mayor's Office	June 4 th 2018

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

Stakeholder Feedback

Summary of Findings

Introduction

The Home Care Redesign project has engaged with a range of stakeholders in order to understand their experiences of home care, understand their concerns and issues and co-develop a future commissioning model.

Stakeholders included:

- Service users and carers
- Social work practitioners, brokers and Contracts and Quality team
- Providers
- Senior Colleagues within Care Management, Contracts & Quality and Strategic Commissioning

The findings from this engagement can be found on page 5.

37 customers were contacted by phone by RSVP. Many customers could not be contacted. The overall response rate was 51%, which represents 19 service users. Some service users had an advocate or relative respond on their behalf. The majority of service users (84%) said that their homecare service did help them live their life well, and helped them do the things they wanted.

The overwhelming majority of respondents were positive about the care they received. Respondents said that they relied on their carers to do key tasks such as personal care. Respondents generally said they had a say in their care and that their views were listened to.

The vast majority of comments about staff were positive. Service users seemed to have a good relationship with their carers and found them 'friendly.' Service users seemed to value the carers who they had known for a long time, confirming continuity of carer is valued.

The overwhelming majority of negative comments related to late visits and the timing of visits. Some respondents were unhappy with the times allocated for their visits. Respondents said carers often arrived at unexpected times. A respondent was unhappy when 'stand-in carers' arrived instead of their usual carer.

The results suggest that service users would be happier if the number of late visits could be minimised or eradicated. The enforcement of compliance of this through the contract, KPI's and Performance Monitoring should be reviewed.

Summary of internal stakeholder feedback – Survey Monkey

A series of questions was sent round to colleagues from care management, brokerage and the contract and quality team through an online survey.

A total of 14 respondents completed the online survey.

The majority of these respondents worked within M I teams either within the North or the South of Bristol. The others were either within contracts and quality, the CHC Commissioning Team, Intermediate Response or First South.

The results for each question have been analyzed and have been summarized below:

1. Home Care Needs Analysis – Does it reflect your experiences? If not what is missing?

Most respondents agreed with the findings of the needs analysis. One respondent commented that the needs of carers and service users that are 'hard to reach' may be underestimated. The most common theme were capacity issues across the City – this was either due to geographical issues or due to the service users' needs being complex

2. Home Care Demand Analysis – Does it reflect your experiences? If not what is missing?

Most respondents agreed with the findings of the needs analysis Most respondents highlighted issues around capacity, that the sector is shrinking, and that packages of care are difficult to source when there are high level needs, or due to their geographical location. Agencies will sometimes hand packages of care back where service users are challenging with high end needs. As already stated nearly all of the remaining half of the respondents agreed without offering little further insight.

3. Sometimes we find it difficult to commissioning home care packages. In your view: a. Are there any areas of the City that are worse than others? B. Are there any particular support needs that are more difficult to commission than others?

Respondents commented that

- South/Central East Bristol was difficult to source placements
- No respondents mentioned any gaps in North Bristol.
- Difficulty in finding placements from challenging or complex needs, which may include dementia and mental health

4. Any other comments or suggestions?

Respondents commented that

- Some providers can regularly be in safeguarding
- Some providers do not sufficient training
- Lack of good quality provision in Bristol

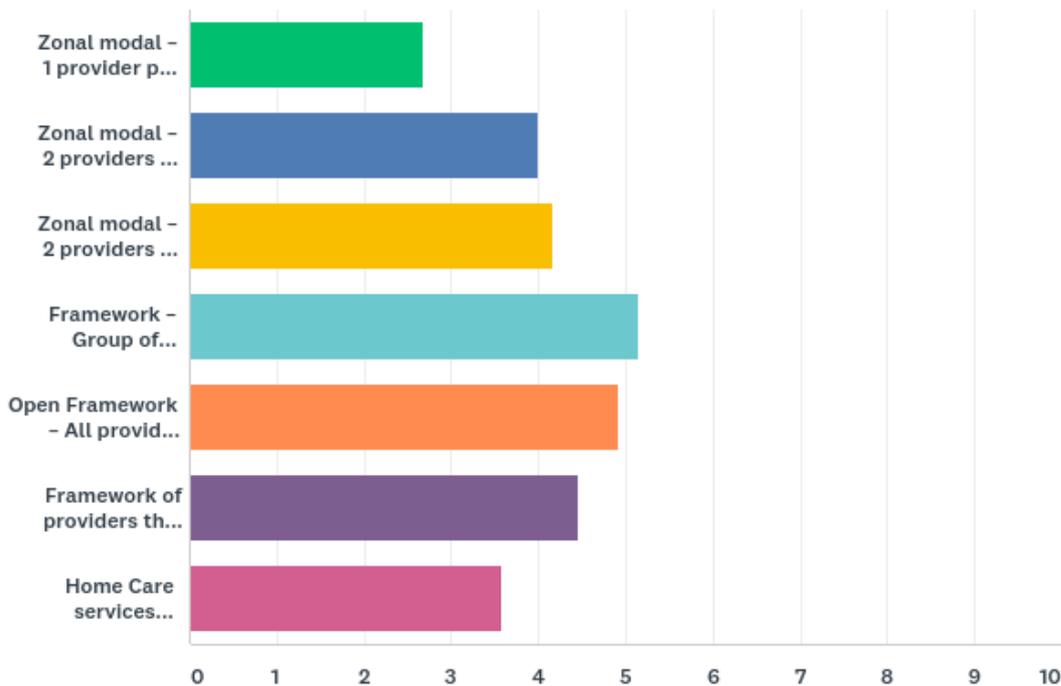
5. As well as developing a needs analysis, we have scoped out future commissioning options. We would like to hear your view on which option will work. Please rank these options in your order of preference

The most popular option was

- “Framework – Group of providers per zone including specialism and the contract includes everything (day, night, emergency etc).”

The least popular was

- “Zonal modal – 1 provider per zone and the contract includes everything (day, night, emergency etc)”.



6. Any other comments or suggestions on the commissioning options?

Respondents commented the following:

- Reliance on few providers does not seem to incentivise practice or maintain specialisms and/or skillsets.

- Benefits of in house home care service
- Making better use of technology to support contract monitoring and quality assurance

Summary of feedback from Brokerage meetings

Commissioning met with brokerage to understand difficulties in find services from their perspective, in summary their views were

- Some areas of the city are more difficult than others due to the parking restrictions/difficulties
- Difficulties when providers hand back clients at short notice
- Rapid response type contract would be beneficial to enable move on/improve flow back into the community
- Unable to source list often has clients requiring double ups and clients living in a certain location.
- They do not feel that the volume of visits is too much of an issues, the most common visit is two a day. The maximum witnesses is 8 visits a day which can be very difficult to purchase.
- NTC visits are frequently 15 mins
- Demand for waking night is higher than demand for sleeping nights
- It can be difficult for brokerage to source packages for clients with challenging behaviour.
- Requests for shopping, cleaning and laundry can be quite common for big packages and would generally be in the afternoon for a block of hours.
- Thoughts on commissioning approaches – preference for a framework of providers per zone and better matching of providers to geographical zones,

Summary of feedback from Provider meetings

We have held two dedicated meetings with current and potential providers. Providers views on both the needs analysis and commissioning options has been:

- Seeing more evidence of service users with complex needs and needs relating to loneliness and social isolation
- Providers want a more transparent and trusting relationship with BCC in terms of delivering care, changes to care packages and provider review
- Change in requirement for workforce - Increase in health related tasks
- An integrated approach with health
- A commissioning model that supports providers recruitment and retention
- Review of the way in which services are commissioned i.e. spot Vs block
- There was no overall consensus between providers on one of the proposed commissioning models

Summary of feedback from check and challenge meeting 28th March

Senior colleague commented:

- A need to ensure that the future commissioning model met both planned and unplanned need
- That the future commissioning model should complement the work taking place in the integrate care bureau, enhancement of the Reablement service and the development of the 'Home First' model.
- That there should be benefits to having dedicated providers commissioned to provide services
- Want to encourage providers to work in partnership with other organisations in the community
- Need a model that ensures provider engagement and growth of provision
- TUPE needs to apply if contracts end.
- Tender process needs to take into consideration the providers knowledge of Bristol City Council
- Can we consider linking the 'Zones' more closely with GP Clusters?
- In the future we need to consider transforming the homecare model to a more community -based, wellbeing service
- Suggestion to vary the contract of the main providers to make them responsible for hospital discharges.
- Suggestion that Framework providers are more or solely responsible for community packages, with mains acting as a contingency.
- Strong relationships must be built between the reablement teams and the provider to make transfers work

Conclusion

From reviewing the feedback from stakeholders the following conclusions can be drawn

- The majority of stakeholders **agree with the findings of the needs analysis** however there may be some representation of need in terms of complex need.
- Stakeholder comment that it is **harder to find home care services in some areas of the city than others** and this is down to both the contracts in place for that area and the parking restrictions.
- **Reliance on fewer providers is not preferable** and does not provide good quality, diverse provision.
- **Need for dedicated contract that supports hospital discharge**
- **Need for a different commissioning approach** to meet need and demand, which may include block contracting

- **Need to review Electronic Monitoring Services (EMS)** and the way in which contracts are monitor and services are paid.
- **No clear preferred commissioning option** - Some stakeholders (social work colleagues, brokerage) prefer a framework commissioning model whereas other stakeholders preferred a mixed model of zones and framework.

Bristol City Council Equality Impact Assessment Form

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



Name of proposal	Homecare Commissioning - Improving the supply and quality of commissioned homecare
Directorate and Service Area	People Directorate, Adult Social Care Commissioning
Name of Lead Officer	Lucia Dorrington, Strategic Commissioning Manager, Adult Social Care

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?

Investment in commissioned homecare to improve the supply and quality of care in the City.

To underpin this, to review current home care contracts to ascertain whether services meet presenting need, are value for money and can provide the expected quality.

This has included:

- A robust needs analysis looking at need and projected need over the next 5 years.
- Work with providers to develop future options, ensuring that any revised commissioning model supports the need to improve capacity.
- These proposals should have the following impact:
 - Positive impact for service users – the proposals could positively improve both service users’ experiences of services and reduce the number of service users experiencing delays in receiving a service both from hospital and from the community.
 - Positive impact for (provider) staff – the proposals should

positively impact staff working for providers through improved pay rates and employment terms and conditions.

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?

The proposal will impact on people with protected characteristics, especially older and disabled people, in the following ways:

- Access to a service (Homecare)
- Impact on quality of life (Health, Wellbeing, Independence, Social Isolation)

Bristol City Council currently commissions home care with 1424 service users across the City. Homecare includes the delivery of personal care in people's homes which can include washing, dressing and support with medication and daily living tasks. It is a personalised service and it is essential that the needs of service users are recorded and considered for care planning purposes and ongoing reviews.

The majority of homecare service users are female (62%), White British Ethnicity (81%), Christian (50%). 53% of service users are British, with 45% recorded as unknown. 47% of service users are Heterosexual, with 43% recorded as Not Known.

A slightly higher proportion of homecare service users are White British (81%) compared with the Bristol population (78%), suggesting that BME groups are slightly unrepresented for those receiving a commissioned service. Looking at the profile of service users who receive a Direct Payment for homecare, a large majority are still White British (63%), however there is significantly more ethnic diversity.

The majority of the service users have a primary need associated with being physically frail or ill (37%), closely followed by physical disability (33%). There are also a significant number of service users with dementia (9%) and

mental illness (6%) as a primary need.

Physical Disability and Physical Frailty are also prevalent when looking at secondary needs. A significant number of people have a secondary need as a Carer. Most carers are older people. The average age of a Carer in Bristol is 65.

There is a clear correlation between areas of high proportion of working age population whose day to day activities are limited (limiting long-term illness or disability) and the wards with the highest number of homecare packages.

The majority of service users are 81- 90 years of age followed by 71-80 years of age. A significant proportion (21%) of service users are between 51 and 70. The average age is 76.

The older population is growing and this will create more demand. Older people receiving homecare are more likely to have a primary need linked to physical frailty or dementia.

There are projected to be 7,700 more people 65 & over by 2024, a 13% rise (and potentially a 44% rise by 2039). The demand for homecare is thereby predicted to rise especially as we commission less residential care and more homecare to enable people to stay at home and be supported to be independent for longer.

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

There is a lack on data on Nationality and Sexual Orientation. There is no data on marriage and civil partnership, pregnancy and maternity and gender re-assignment.

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

A 5% sample of service users were contacted for a survey. This was done on a random sample basis. The aim of the survey was to ask for feedback on whether the homecare service was meeting their needs, and what could be improved.

The overwhelming majority of respondents were positive about the care they received and the carers who visited them. The overwhelming majority of negative comments related to late visits and the timing of visits.

The results suggest that service users would be happier if the number of late visits could be minimised or eradicated. Service users should be informed when carers are running late and the reason explained. The enforcement of compliance of this through the contract, KPI's and Performance Monitoring should be reviewed.

Some respondents were unhappy with their visit times. The approach to deciding these and communication to service users about this may need to be clearer.

These issues raised are under consideration as part of the detail of proposed changes to the homecare commissioning model and specification.

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?

Age and Disability

There are currently people waiting for Homecare in Bristol, who have been assessed as eligible under the Care Act to receive this commissioned service. The numbers on the unable to place list are down from previous times but this is still likely to have a negative impact on older people and people with disabilities as their care needs may not be being met. Most people on the 'unable to source list' for commissioned homecare in Bristol are at home with no commissioned support. There are also people waiting for homecare in hospital who are ready to be discharged. (Delayed Transfers of Care – DTOCs). This is the thrust of the proposed changes to the homecare commissioning model to improve supply of homecare.

Race

We know that there is slight underrepresentation of people from non 'White British' ethnicity receiving commissioned homecare. The reasons for this should be considered. There are social care providers in Bristol who specialise in providing services to certain BME groups. One of these providers works with Bristol on our 'legacy' framework to provide commissioned services in Bristol. Some service users access these services through the use of Direct Payments, which might suggest that our commissioned services don't always meet the needs of BME populations.

Sex

The majority of service users are women. The proposals should have no adverse impact on people of different sex.

Religion

There is no evidence that the proposals would have an adverse impact.

Gender Reassignment

There is no evidence that the proposals would have an adverse impact.

Sexual Orientation

There is a lack of profile data on sexual orientation. There is no evidence that the proposals would have an adverse impact.

Marriage and Civil partnership

There is a lack of profile data on Marriage and Civil Partnership. There is no evidence that the proposals would have an adverse impact.

Pregnancy and Maternity

There is no evidence that the proposals would have an adverse impact.

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

The impact of people waiting for a commissioned homecare service can be mitigated by ensuring that there is enough commissioned capacity in the market to meet demand, it is good quality and can meet people's needs.

It is essential that assessments of people's homecare care needs, completed by social workers and providers, take into account needs related to the protected characteristics.

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

The review of the Homecare Commissioning model is an opportunity to review the current services against the needs of the local population. This has included ensuring that the service is accessible and that people's needs are being met under the Care Act, both now and in the future. This has included looking at the needs of people with Protected Characteristics relevant to the service, for example, whether there are any specific care needs that the service must meet for specific groups, and if the service is accessible.

Age and Disability

The review of this service proposes the continued funding of and investment in a commissioned homecare service which has clear benefits for older and disabled people, helping people to stay well and remain in their own home. A key outcome of the project is to increase the supply of homecare in Bristol, which will mean more people can benefit.

Race

There is the potential to commission more Black and Minority Ethnic (BME) suppliers of homecare services.

3.4 Can they be maximised? If so, how?

The commissioning process provides the opportunity to review service specifications and contracts with service providers. As per proposals in the Cabinet Report, this will include the addition of measures, or changes, to the way we ask providers to deliver services, and what measures we performance monitor.

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?

This EqlA has highlighted the need for the Homecare Redesign Project to:

- Ensure the outcome of the redesign prevents or eliminates the adverse impact of people waiting for commissioned homecare services. This is having an impact on older and disabled people.
- Ensure we commission providers that are representative, and can meet the needs of the local population
- Ensure that there is nothing preventing or discouraging small providers and BME organisations accessing any future tendering activity
- Ensure our service specifications specify that needs assessments take into account any needs in relation to the Protected Characteristics
- Ensure any tender process ensure providers' employment policies, procedures and practices are not discriminatory
- Consider whether equalities service standards and targets should be used in the contract specification or Performance Management Frameworks.

4.2 What actions have been identified going forward?

- Procure commissioned services that meet the needs of local populations including BME groups and disabled people. Consider whether specialist providers need to be commissioned to meet any unmet need.
- Design a procurement process that does not discriminate against small and/or specialist BME homecare businesses tendering, and encourages them to do so.
- Review and implement effective equalities service standards and targets as part of the performance management framework.
- Improve equalities monitoring of service users.
- A commissioned homecare service of higher quality which ensures less people are waiting for homecare services.

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

The impact of this proposal and the actions will be measured through ongoing contract management and quality assurance of the contracts. In addition the impact of the project will be measured to ascertain whether it has achieved its benefits.

Service Director Sign-Off:

Equalities Officer Sign Off:

Date:



Terry Dafter, 20/6/2018

Date:



Duncan Fleming 25/06/2018

Eco Impact Checklist

Title of report: Home Care Commissioning				
Report author: Lucia Dorrington				
Anticipated date of key decision – 3rd July 2018				
Summary of proposals: To invest in commissioned homecare through a range of measures and to vary current home care contracts with providers to ensure impact of investment i.e. improved supply and quality of homecare.				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	No			
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	No			
Production, recycling or disposal of waste	No			
The appearance of the city?	No			
Pollution to land, water, or air?	Yes	-	Workers most commonly drive to care visits.	Incentivise providers to encourage workers to walk or cycle between visits and to effectively schedule visits in patches to reduce transport.
Wildlife and habitats?	No			
Consulted with:				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
The significant impacts of this proposal are minimal; there are some negative impacts around staff travel. This can be mitigated by encouraging staff to use sustainable transport methods where practical.				
Checklist completed by:				
Name:	Catherine Martin			
Dept.:	Strategic Commissioning			
Extension:	25247			
Date:	23/04/2018			
Verified by	Nicola Hares			

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Childcare Development and Sustainability Service		
Ward(s)	Bristol Citywide		
Author: Tom Rhodes	Job title: Commissioning Manager		
Cabinet lead: Anna Keen	Executive Director lead: Jacqui Jensen		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
<p>Purpose of Report: Cabinet is recommended to approve a competitive tender for a Childcare Development and Sustainability Service at a maximum annual cost of £305,000, and to delegate the award of the contract following procurement to the Service Director for Education and Skills.</p>			
<p>Evidence Base: The local authority has a statutory responsibility to ensure that there is sufficient good quality childcare in the area. This function is currently carried out by an external provider under two different agreements at a total annual cost of £398,728. Following procurement, the new service will meet the statutory obligation and achieve a 24% saving by focusing on sustainability and safeguarding. There will be a focus on training for childcare providers, but this will be reduced in the new contract, allowing the savings to be achieved.</p> <p>The work to rebaseline the Education, Learning and Skills service is on-going. A project manager and business analyst are currently working to pull all of the work around statutory responsibilities, as advised by our legal team, into a business plan for EDM and the onward decision pathway. It is clear that this contract covers the legal statutory functions and responsibilities that are required of the Local Authority. This cost would therefore be identified, and will not alter, in the full business case when completed.</p>			
<p>Recommendations:</p> <p>That Cabinet</p> <ol style="list-style-type: none"> 1. Approve a competitive tender for a contract for Childcare Development and Sustainability with a Maximum annual contract value - £305,000 for 2 years (with the option to extend for a further year). 2. Delegate authority to award the contract to the Director for Education and Skills, in consultation with the Cabinet Member for Women, Children and Young People. 			
<p>Corporate Strategy alignment: The following objectives in the Corporate Strategy are relevant to this key decision:</p> <ul style="list-style-type: none"> • Fair and Inclusive: Improve educational outcomes and reduce educational inequality. • Wellbeing: Create healthier and more resilient communities where life expectancy is not determined by wealth or background. • Safeguarding the most vulnerable: Fulfilling the statutory responsibility of the city to protect vulnerable children and adults. 			
<p>City Benefits:</p> <ul style="list-style-type: none"> • Early education can help disadvantaged children to ‘close the gap’ in educational attainment with their wealthier peers. • Attending good quality childcare enables staff to pick up signs of behavioural problems, slower language or cognitive development earlier on, and provide additional support to the child and their parents to make a difference to outcomes before they start school. • High-quality care improves the life chances of all children life by improving their emotional and social development and has a positive impact on educational attainment. 			

- Sufficient high quality childcare also has a significant positive impact on the local and national economy allowing more parents/carers to work.

Consultation Details: These plans were described in a draft commissioning plan which was consulted on between January and March 2018 (see consultation summary report).

Revenue Cost	£0.305m in a full year	Source of Revenue Funding	Early Years General Fund
Capital Cost	£0.00	Source of Capital Funding	N/A
One off cost <input type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input checked="" type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice: This report sets out the proposed re-tendering exercise to procure a revised service for childcare development and sustainability. Currently, the £0.399m cost of the commissioned service is funded from the Early Years General Fund budget within the Education Service. The lower cost of £0.305m would produce on-going savings of £94k, with a small part-year impact during 2018/19. These savings would contribute to the savings targets attributable to the Education Service that have been agreed by Council for 2018/19 and beyond, through the loss of the Education Services Grant.

Finance Business Partner: David Tully, Interim Finance Business Partner 13th April 2018

2. Legal Advice: The new contract is to be commissioned via a competitive procurement exercise which will need to comply with the 2015 Procurement Regulations (though potentially subject to the light touch regime) and the Councils own procurement rules.

Legal Team Leader: Eric Andrews, Team Leader, Legal Services 19th April 2018

3. Implications on ICT: There are no identifiable direct IT implications in this initiative. It is understood that there are no current data sharing arrangements in place that would identify individuals; however, the service should satisfy itself that any data held on its behalf or shared with other parties is in line with Council policies and relevant legislation, such as GDPR. The Council Data Protection Officer would be able to provide advice.

ICT Team Leader: Ian Gale – Head of IT 15th April 2018

4. HR Advice: There are no HR implications in relation to this report as it relates to the recommissioning of services.

HR Partner: Lorna Laing, People & Culture Manager – Adults, Children & Education 17th April 2018

EDM Sign-off	Jacqui Jensen	25 April 2018
Cabinet Member sign-off	Anna Keen	8 May 2018
CLB Sign-off	Jacqui Jensen	29 May 2018
For Key Decisions - Mayor's Office sign-off	Marvin Rees	4 June 2018

Appendix A – Further essential background / detail on the proposal	YES
Appendix B – Details of consultation carried out - internal and external	YES
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO

Appendix I – Combined Background papers	NO
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO



Childcare Development and Sustainability Service

Commissioning Plan

July 2018

1. Introduction

The overall aim of the Childcare Development and Sustainability Service is to improve outcomes for families, children and young people through access to high quality, sustainable and affordable childcare provision.

The Childcare Development and Sustainability Service helps us fulfil our statutory duties in relation to early years and childcare provision by commissioning an external provider to facilitate and support the local childcare market in order to ensure the provision meets the needs of parents with children.

1.1. Aims of this commissioning strategy

- Increase early years and childcare provision in areas of childcare insufficiency to meet parental needs.
- Support new and existing early years and out-of-school childcare providers in meeting registration, regulatory and legislative requirements
- Engage providers in networks and partnership working to ensure sufficiency and continuity of provision for families in their locality
- Ensure providers have robust business plans in place for an affordable and sustainable service
- Ensure providers increase their awareness and capacity to exploit funding and fundraising opportunities
- Help providers work towards maintaining maximum occupancy rates to improve business efficiency and service access for parents
- Support providers to continuously improve the quality of provision through the delivery of various training programs, by providing advice and direct support.

1.2. Our current commissioning arrangements

In 2012 Bristol Association for Neighbourhood Daycare Ltd. (BAND) were awarded a contract to deliver the Childcare Development and Sustainability Service with an annual contract value of £292,984. This contract was extended and is now due to expire at the end of 2018.

The Service is delivered throughout the City in close consultation with parents, childcare providers and with key strategic partner to provide support, advice and training to childcare providers on the sustainability, development and improved quality of early years and childcare provision. The contract is expected to meet and exceed quality standards such as those requested by OFSTED; offer information, advice and guidance on a range of subjects from financial management to fundraising and policy-making; support voluntary management committees; act as a networking tool; offer free training courses and workshops; and run a free resource library of toys, books and equipment.

Key service indicators include:

- Increased access to provision in identified areas of parental need
- Increased sustainability of provision with robust business planning in place for affordable and sustainable services
- Measurable quality improvements in the delivery of provision with increased number of providers meeting registration, regulatory and legislative requirements
- Increased access to affordable provision by families on low incomes, and families from disadvantaged communities.

In addition to this existing contract, the council has another arrangement with BAND to provide training to childcare providers to meet the statutory welfare standards in the Early Years Foundation Stage. Following consultation, the funding that goes to BAND for training will be included as part of the wider contract to ensure that the strong training element is retained.

1.3. Why we are recommissioning this service

Bristol City Council has historically commissioned one external provider to support the childcare sector and help us to achieve our sufficiency duty. Most other local authorities manage childcare contract services in-house, whilst some commission external providers with a much wider remit to provide play and education support services.

Our current contract with the existing provider of the Childcare Development and Sustainability Service is coming to an end and we have already extended this contract as far as is possible. We plan to amend the service specification and overall requirements for the Service to reflect our changing priorities and the reducing overall budget. We will combine another funding stream into this contract to maximize the funding available under this contract and to ensure that our procurement obligations have been met in full.

2. Legal and policy context

As a local authority Bristol City Council is bound by a number of regulations and pieces of legislation regarding procurement including our own Financial and Procurement Regulations, and the Public Contracts Regulations 2006 (the UK enactment of the EU Procurement Directive). The consequences of not following the regulations can be significant and can result in disciplinary actions, loss of EU funding, substantial fines and legal action, damage to the Council and Officer/Members' reputation, and a negative impact on service delivery.

The Childcare Act 2006 and the Education Act 2011 place duties on local authorities in relation to early years and childcare provision to:

- Improve the well-being of children and young people
- Reduce inequalities between children and young people in their area
- Improve the outcomes of young children from birth to five years
- Ensure that there are sufficient, high quality early years places for 2, 3 and 4 year olds and childcare places for children aged 5 to 14 (or older if they have additional needs)
- Provide information to families about local childcare provision and other families information.

Under the Childcare Act 2006 Local Authorities are required to secure sufficient childcare, so far as is reasonably practicable, for working parents, or parents who are studying or training for employment, for children aged 0-14 (or up to 18 for disabled children).

The definition of 'childcare' includes:

- Day-care for children aged birth to 4 in day nurseries
- Free early learning provision for 3 and 4 year olds
- Free early learning and childcare provision for eligible 2 year olds
- Out of School provision for school aged children
- Childminding provision

Section 6 of the Childcare Act places a duty on English local authorities to secure sufficient childcare for working parents. Section 12 places a duty on English local authorities to provide information, advice and assistance to parents and prospective parents on the provision of childcare in their area and other services which may be of benefit.

To secure sufficient childcare places, local authorities should;

- Take into account what is ‘reasonably practicable’ when assessing what sufficient childcare means in their area and;
- The state of the local childcare market, including the demand for specific types of providers, in a particular locality and the amount and type of supply that currently exists;
- The state of the labour market;
- The quality and capacity of childcare providers, including their funding, staff, premises, experience and expertise;
- Encourage schools in their area to offer out of hours childcare from 8am and 6pm and to offer flexible sessions;
- Encourage existing providers to expand their provision and new providers to enter the local childcare market.
- Ensure there is sufficient childcare available to meet the needs of disabled children; children from families in receipt of the childcare element of Working Tax Credit or Universal Credit; children with parents who work irregular hours; children aged two, three and four taking up early education places; school age children; and children needing holiday care.

The role of the Local Authority is to facilitate and support the local childcare market to ensure the provision meets the needs of parents with children. The Childcare Development and Sustainability Service will fulfil the authority’s duty to ensure there is sufficient, high quality, affordable and accessible early years and childcare places through effectively supporting and developing the market.

2.1. Safeguarding duties

The Government has defined safeguarding as the process of protecting children from abuse or neglect, preventing impairment of their health and development, and ensuring they are growing up in circumstances consistent with the provision of safe and effective care that enables children to have optimum life chances and enter adulthood successfully.¹

Children Act 2004

Section 10 requires each local authority to make arrangements to promote cooperation between the authority, each of the authority’s relevant partners, and such other persons or bodies who exercise functions or are engaged in activities in relation to children in the local authority’s area as the authority considers appropriate. The arrangements are to be made with a view to improving the well-being of children in the authority’s area – which includes protection from harm and neglect alongside other outcomes.

¹ The latest Working Together to Safeguard Children guidance is published here: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/419595/Working_Together_to_Safeguard_Children.pdf see also statutory guidance for local authorities on *Schools causing concern* (DfE January 2015) https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/434047/Schools_Causing_Concern_Jan_2015_FINAL_24Mar.pdf

Section 11 places duties on a range of organisations and individuals (including local authorities, schools and contracted service providers) to make arrangements for ensuring that their functions, and any services that they contract out to others, are discharged with regard to the need to safeguard and promote the welfare of children.

Education Act 2002

Section 175 of the Education Act 2002 places a duty on local authorities in relation to their education functions; and on the governing bodies of maintained schools in relation to their functions relating to the conduct of the school or the institution to make arrangements for ensuring that such functions are exercised with a view to safeguarding and promoting the welfare of children. Similar duties apply to proprietors of independent schools (which include academies/free schools) and non-maintained schools.

Children Act 1989

The Children Act 1989 places a duty on local authorities to promote and safeguard the welfare of children in need in their area.

2.2. Local policy

2.2.1. Bristol City Council Corporate Strategy 2018- 2022

The Corporate Strategy and related Business Plan set out the priorities for the city over the next few years addressing the themes of:

- Culture
- Education and Skills
- Environment
- Health & Wellbeing
- Housing
- Transport

The strategy and business plan highlights a commitment to work with people and organisations to tackle inequality and focus on fundamental goals – many of which are relevant to this commissioning e.g. tackling food poverty through Breakfast Clubs initiative.

2.2.2. Bristol Children, Young People and Families Strategy 2016 to 2020

This four year strategy covers all services for children, young people and families across the whole of Bristol. It describes how the Children and Families Partnership will work together to make sure children, young people and their families are:

- safe and nurtured
- healthy and active
- respected and involved
- responsible and achieving

² <https://www.bristol.gov.uk/documents/20182/1188753/Corporate+Strategy+2017-2022+D5/c545c93f-e8c4-4122-86b8-6f0e054bb12d>

The priorities in the strategy address poverty and inequality and focus on:

- emotional health and wellbeing
- safe and inclusive communities
- education, employment and skills
- housing

https://www.bristol.gov.uk/en_US/policies-plans-strategies/social-care-and-health/children-young-people-and-families

2.2.3. Bristol: A Learning City

Learning Cities are being established across the world, based on the idea that by working and learning together we can achieve more and in turn this will transform lives, organisations and cities. Bristol has become England's first UNESCO Learning City – part of a world-wide network that champions learning as a way to transform lives, communities, organisations and cities.

We know that Bristol is a great place to learn, with many opportunities available. Our schools are better than ever; our universities are world-class and our cultural and city organisations offer a great breadth of opportunity. However, it is also clear that Bristol is a city of contrasts and not everyone has the same opportunity to learn and prosper.

We want everyone to be proud to learn throughout their lives. Building on existing good practice, our Learning City partners are committed to creating and promoting learning opportunities for everyone, of all ages and from all communities, in all parts of the city.

<https://www.bristollearningcity.com>

2.2.4. Tackling food poverty

Food poverty is the inability to afford, or to have access to, food to make up a healthy diet. It is about the quality of food as well as quantity. The council is working with Bristol Food Banks, Social Enterprises and other partners as part of 'Feeding Bristol' to tackle food poverty within the city.

A major initiative in Bristol is to ensure every school child in the city has access to a Breakfast Club at school by 2020, something which is being kindly supported by the city's faith networks. There is a role for Holiday Play-Schemes and Clubs in tackling food poverty as school pupils who rely on free school meals can face hunger in the holidays.

2.2.5. Bristol City Council's Childcare Sufficiency Assessment (CSA) and Action Plan.

As part of our statutory duties we are preparing a new CSA and Action Plan. The final plan will not be completed before this contract is awarded, but the team drawing up the assessment will provide an overview of the city's childcare sector to support tendering organisations as part of the tender documentation.

The last CSA and Action Plan³ highlighted a number of strategic priorities relating to the sufficiency of childcare provision in the city and have informed the delivery of the Childcare Development and Sustainability Service.

2.1. National Context

30 hours free childcare

From September 2017 all working parents who earn less than £100,000 per year each have been eligible for 30 hours free childcare for three to four year olds⁴ – double the 15 hours they were previously currently entitled to. With the introduction of 30 hours free childcare there is a concern that the quality of provision could be driven down as some providers have reported that the rate the Government offers⁵ is below the actual hourly cost of childcare⁶. Under the previous scheme of 15 hours free childcare, nurseries could make up for the shortfall by charging parents more for the additional hours. Now the number of free hours has doubled, nurseries who have signed up to the scheme will not be able to charge for additional hours since many families do not require more than 30 hours a week of childcare. This could lead to a reduction in both numbers and quality of provision, and represents a key risk that the council's Early Years Team will focus on in the coming months.

The importance of the quality of early education and childcare has long been recognised. Early education can help disadvantaged children to 'close the gap' in educational attainment with their wealthier peers, but only if it is good quality. The introduction of the 30 hour entitlement will mean significant changes for the childcare market, and it is vital to make sure that these changes do not cause deterioration in the quality of provision.

Working age parents and carers

A major barrier reported by lone parents to finding work was the provision of adequate childcare. 36% of the lone parents interviewed in a DWP survey felt that the availability of local childcare was a problem and 36% felt that affordability was a problem.

It should be noted that the most popular choice of childcare, particularly amongst parents with low incomes, is informal childcare with friends or family.

2.2. Other help for children and young people in Bristol

During 2012-2014, the local authority and partners introduced a series of changes to services for children and young people in Bristol. These changes included the following new ways of working:

³ Bristol City Council's Childcare Sufficiency Assessment (CSA) and Action Plan for 2011–14 - Recommendations

⁴ To be eligible single parent households must earn a minimum amount – the equivalent of working 16 hours at the national minimum wage.

⁵ Distributing funding allocated for the offer has been achieved via an Early Years National Funding Formula (EYNF). Each local authority's hourly rate under the new funding formula is calculated using several criteria, starting with a flat per pupil base rate before adding further funding for 'additional needs' criteria such as deprivation. Once funding for additional needs have been added in, the total hourly rate so far will then be multiplied by an area cost adjustment rating. The government has introduced a minimum hourly funding rate for local authorities, and all providers will receive a minimum of at least £4.30 an hour to offer the 30-hour offer of free childcare. Local authorities can also receive other sources of funding from central government which are not included in the EYNFF. And the DfE calculate that, once these separate funding streams are combined with EYNFF funding, the overall hourly funding rate for early years will average £4.94 per hour.

⁶ [NDNA Annual Nursery Survey 2016](#)

- **First Response** – A single place for people to call if they are concerned about a child or young person, or think they need some help. It aims to provide preventative services to help families early and brings together specialist teams in a joined up approach to protect vulnerable young people and support parents. First Response may give advice about services available or make referrals to an area-based Early Help Team or to a social work team.
- **Citywide area-based ‘Families in Focus’ services** – To get the right help to children sooner. There are three area-based Families in Focus Teams who coordinate requests for help referred from First Response and support those children and families who don’t need a social worker, but still require some help.
- **Integrated 0-25 service** for disabled and SEN children and young people including council and health staff.
- **Think Family** - The council is a top-performing local authority in the Government’s Troubled Families programme. Key workers spend up to six hours a week with families to tackle issues such as youth crime, employability and anti-social behaviour. The programme has contributed to reducing police call outs, domestic abuse and school exclusions.

These changes to services reflect national research and best practice using early support principles. They identify each service or provision within a level spectrum known as universal, targeted or specialist. Children and families can require support in just one area, at one time, they can need support in more than one area and they can need support to prevent them moving into the next level. The focus is always on early intervention and prevention in order to reduce the need for specialist services or provision. Access to support is through assessment and the local authority threshold document shows how children and families’ needs are assessed and supported.⁷

3. Childcare provision in Bristol

3.1. Number of providers by type

Bristol has a rich, diverse and mixed economy of childcare provision and the Early Years Service has continued to invest in quality improvements and business and sustainability support across all childcare sectors in Bristol.

The following numbers of early education providers are registered with Ofsted in Bristol⁸:

Early education providers by type	Number of providers
Early Education Providers - Private , Voluntary and Independent Sector	145
Early Education Providers - Nursery Classes	40
Early Education Providers - Nursery Schools	12

The table below shows the number of Out of School providers by type and area in Bristol⁹.

Out of School Provider	East Central	North	South	N/A	Total
After-School Club or	26	37	30	1	94

⁷ Guidance on Bristol’s thresholds is published here:

http://www.bristol.gov.uk/sites/default/files/documents/children_and_young_people/child_health_and_welfare/Final%20Thresholds%20guidance%20February%202014.pdf

⁸ Source: Tribal database November 2017

⁹ Source: Tribal database December 2017

Activity					
Breakfast Club	25	41	32	10	108
Holiday Out of School Scheme	10	25	14	4	53
Out of School Care	30	46	31	13	120

In addition to this, Bristol has 429 childminders. Support for childminders is not within the scope of this contract but it is expected that the Support Service will work in partnership with the Childminding Support Service on childcare development initiatives and training. The support service will also provide support and information on the Voluntary Childcare Register for after school activity providers.

3.2. Number of childcare places

Registered places are the number of children that may attend the provision at any one time. Registered places are not the number of places occupied, nor the number of children who may benefit from receiving places through providers offering sessions at different times of the day. Place numbers are only collected for providers on the Early Years Register.

At end March 2016 there were 7,735 Ofsted registered Early Years places for Childcare on non-domestic premises in Bristol, in addition to 2,474 for Childminder places¹⁰.

We estimate that there are currently places for up to 4,057 children to attend Breakfast Clubs in Bristol. This estimate is based on the 44 out of 108 Breakfast Clubs who have indicated the maximum number of children they can facilitate. For Out of School Care we estimate there are 4,410 places in Bristol based on information from 67 out of 119 providers. There are also an estimated 2,526 places for Holiday Out of School Schemes in Bristol based on information from 36 out of 53 providers.

Type of Extended School Provision	Estimated total number of places available in Bristol ¹¹
Breakfast Clubs	4,057
Out of School Care	4,410
Holiday Out of School Schemes	2,526
After School Clubs	Not known

3.3. Staff qualifications

A recent review of provider staff qualifications for Early Years settings in Bristol¹² found that 40% (n=98) of settings had 'graduate leadership' – i.e. at least one member of staff with Qualified Teacher Status, Early Years Professional Status, or Early Years Teacher Status.

3.4. Quality of childcare provision

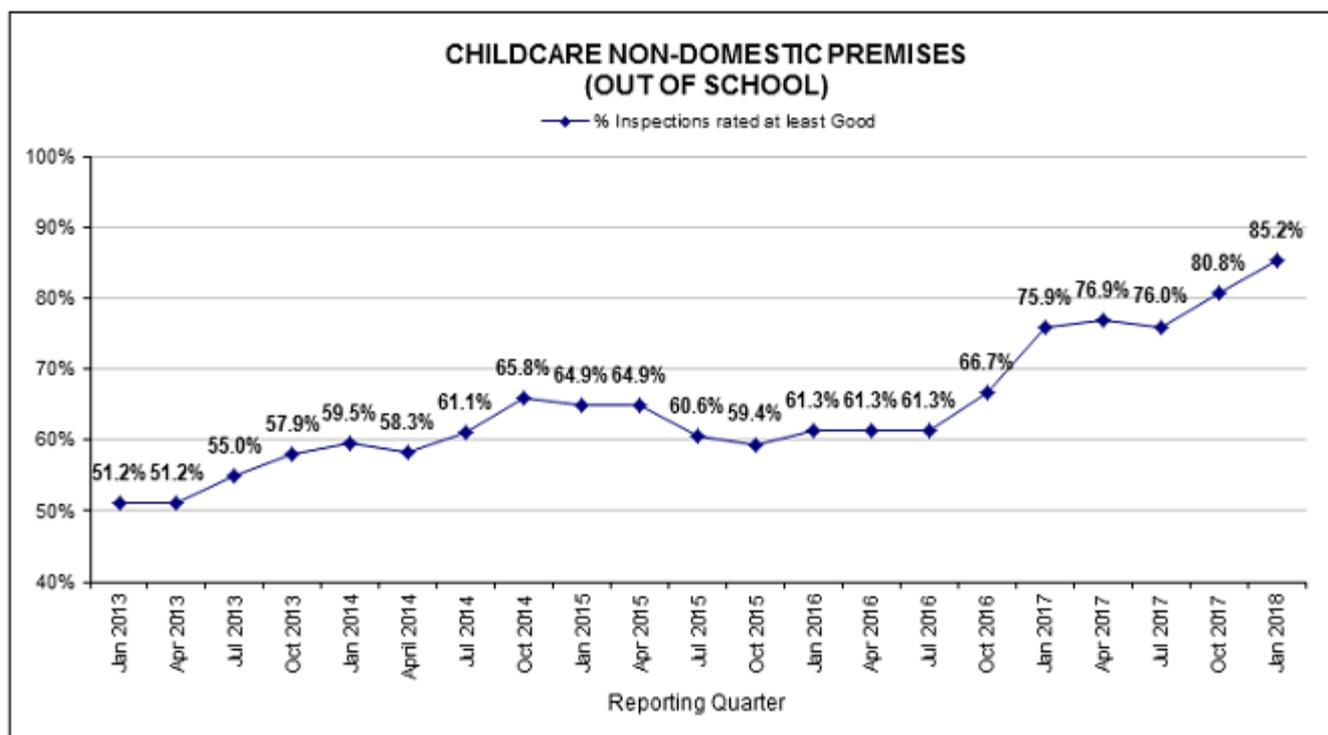
The Childcare Development and Sustainability Service will work extensively with childcare providers to support the quality of settings including safeguarding and DfE welfare requirements. The graph

¹⁰ <https://www.gov.uk/government/statistics/childcare-providers-and-inspections-as-at-31-march-2016>

¹¹ Source: Tribal database and provider information December 2017

¹² Bristol City Council Early Years Census January 2017

below shows that under the current contract childcare providers have consistently exceeded targets in relation to the percentage of providers judged good or better by Ofsted. Bristol's childcare provision is performing above national levels; 96.6% of provision has been assessed as good or outstanding compared to 95% nationally and 96% for the South West. Ofsted outcomes have improved by 34% in the Out of School sector over the duration of the current contract, from 51.2% in January 2013 to 85.2% in January 2018.



The importance of the quality of early education and childcare has long been recognised. Early education can help disadvantaged children to ‘close the gap’ in educational attainment with their wealthier peers, but only if it is good quality.

The first five years of life shape children’s life chances and it is in the early years that the socio-economic gaps in children’s outcomes start appear. Research¹³ found that by age three there are large and systematic differences between children from lower and higher income families and these gaps persist throughout childhood, as later attainment tends to be heavily influenced by early development. Childcare in particular has an important impact with children who attended high quality childcare found to be earning more, on average, than those who did not. This applied even for children whose performance in relation to others had deteriorated during the school years.

High-quality care improves the life chances of all children, especially disadvantaged children and research shows that high quality childcare gives young children the best start in life by improving their emotional and social development and has a positive impact on educational attainment. The Effective Provision of Pre-School Education (EPPE) Project found¹⁴ that children’s achievements in language, reading and numeracy increased in proportion to the time they spent in pre-school. The

13 The Foundation Years: Preventing Poor Children Becoming Poor Adults, UK Government Independent Review on Poverty and Life Chances

14 Sammons, P. et al (2004) EPPE: tech paper 8a/b, Measuring the impact of pre-school on children’s cognitive progress over the pre-school period. Institute of Education.

project demonstrated the positive effects of high quality early years provision on children’s intellectual and social behavioural development.

Another advantage of attending good quality childcare is that qualified and experienced staff may be able to pick up signs of behavioural problems or slower language or cognitive development earlier on, and provide additional support to the child and their parents to make a difference to outcomes before they start school, or help to broker access to wider support services. This could change the child’s trajectory between the ages of three and five and so determine how well they do at school.

Sufficient high quality childcare also has a significant positive impact on the local and national economy allowing more parents/carers to work. It increases their earnings and their contribution to both the local and national economy.

The table below compares the Ofsted inspection ratings for Bristol non-domestic childcare providers and Childminders with those of our statistical neighbours¹⁵ and other core cities in England.

Ofsted inspection ratings @ 31/3/2017

Childcare Non-domestic premises					Childminders				
	Total inspections	Number good or outstanding	% good or outstanding		Total inspections	Number good or outstanding	% good or outstanding		
England	20,626	19,681	95.4%		England	33,015	30,427	92.2%	
South West	2,229	2,149	96.4%		South West	3,163	2,966	93.8%	
STATISTICAL NEIGHBOURS					STATISTICAL NEIGHBOURS				
				Rank				Rank	
Bournemouth	72	69	95.8%	7	Bournemouth	97	91	93.8%	3
Brighton and Hove	122	120	98.4%	1	Brighton and Hove	96	89	92.7%	5
Bristol	138	133	96.4%	6	Bristol	310	289	93.2%	4
Coventry	110	107	97.3%	5	Coventry	229	209	91.3%	9
Derby	78	71	91.0%	11	Derby	129	118	91.5%	7
Leeds	255	249	97.6%	3	Leeds	679	641	94.4%	2
Plymouth	92	90	97.8%	2	Plymouth	119	108	90.8%	11
Portsmouth	80	78	97.5%	4	Portsmouth	80	76	95.0%	1
Reading	64	60	93.8%	9	Reading	92	84	91.3%	8
Sheffield	142	134	94.4%	8	Sheffield	295	271	91.9%	6
Southampton	87	81	93.1%	10	Southampton	153	139	90.8%	10
TOTAL	1,240	1,192	96.1%		TOTAL	2,279	2,115	92.8%	
CORE CITIES					CORE CITIES				
				Rank				Rank	
Birmingham	420	383	91.2%	8	Birmingham	425	377	88.7%	5
Bristol	138	133	96.4%	3	Bristol	310	289	93.2%	2
Leeds	255	249	97.6%	1	Leeds	679	641	94.4%	1
Liverpool	147	137	93.2%	7	Liverpool	169	149	88.2%	6
Manchester	136	127	93.4%	6	Manchester	289	233	80.6%	8
Newcastle upon Tyne	98	95	96.9%	2	Newcastle upon Tyne	140	126	90.0%	4
Nottingham	83	78	94.0%	5	Nottingham	146	119	81.5%	7

¹⁵ <https://www.gov.uk/government/publications/local-authority-interactive-tool-lait>

Childcare Non-domestic premises				Childminders					
Sheffield	142	134	94.4%	4	Sheffield	295	271	91.9%	3
TOTAL	1,419	1,336	94.2%		TOTAL	2,453	2,205	89.9%	

4. Bristol demographics

4.1. A growing population

In Bristol there are approximately 95,590 children under 18 with an increase of around 1,390 children in the last year. In the decade 2005-15, the number of children aged 0-15 living in Bristol is estimated to have increased by 11,700 (16.2%), compared to an increase of 6% in England and Wales.¹⁶

This increase has been largely amongst the under 8 year olds and in particular among the 2-5 year olds (an increase of 36%), and this group will of course lead to an increase in each age category as they grow up. The growth in the number of under-5s in the last decade (+7,100) is the fourth highest nationally. In recent years the fastest rising age band in Bristol has been in ages 5-9. Bristol's child population (under 16) is rising in all areas of the city, with the highest rise in South Bristol. This change of population in the city is likely to be increased with the significant amount of family housing that will be built in South Bristol in the next five years.

Area	0-14 Population 2012	0-14 Population 2015	Population change	Population change %
East Central	26520	27456	936	3.53%
North	27618	28667	1049	3.80%
South	22060	23257	1197	5.43%

The wards that have seen the biggest increase in children aged 0-14 are Bedminster and Cabot and there is likely to now be significantly more demand for childcare in these areas.

Bristol Child Population Projections¹⁷

Ward	0-14 Population 2012	0-14 Population 2015	Population Change	%
Bedminster	1806	2017	211	11.68%
Cabot	1046	1165	119	11.38%
Bishopston	2544	2765	221	8.69%
Hillfields	3007	3262	255	8.48%
Brislington East	2134	2309	175	8.20%
Frome Vale	1824	1970	146	8.00%
Lockleaze	2549	2745	196	7.69%
Hengrove	2055	2207	152	7.40%
Horfield	2170	2322	152	7.00%

¹⁶ <https://www.bristol.gov.uk/policies-plans-strategies/bristol-jsna-statistics-and-data>

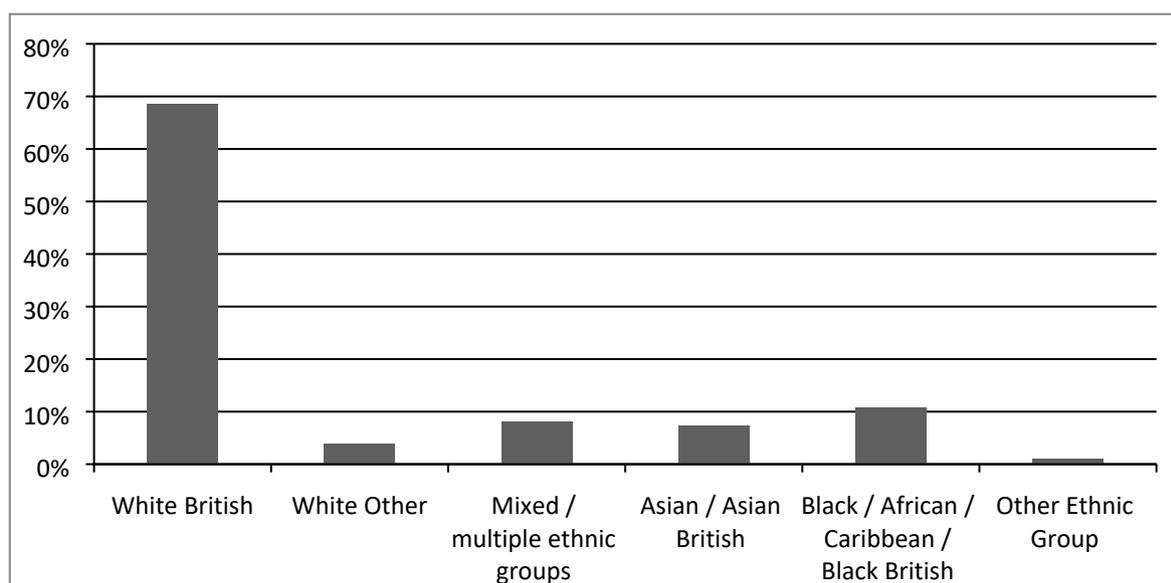
¹⁷ 2014-based Subnational Population Projections – Bristol, Population Projections Unit, ONS, Crown Copyright 2016

Bristol child population projections by age 2017-2022

AGE	2017	2018	2019	2020	2021	2022
0-5	37,310	37,344	37,749	38,411	38,986	39,498
6-10	27,322	28,064	28,237	28,270	28,271	28,325
11-15	22,414	23,348	24,389	25,166	25,919	26,559
16-17	8,540	8,322	8,428	8,770	9,166	9,504
Total	95,589	97,077	98,803	100,614	102,342	103,887

4.2. An increasingly diverse population

Ethnicity of children 0-17 in Bristol¹⁸



The Bristol population has become increasingly diverse. 22% of the overall population is not 'White British' and there are now at least 45 religions, at least 50 countries of birth represented and at least 91 main languages spoken by people living here. Changes to population characteristics have been concentrated in the inner city and inner east areas of the city. Other than White British the largest populations by ethnic group are Non-White British, African (of whom a large proportion are of Somali heritage), Black Other, Pakistani, Caribbean and Indian.

The most recent estimates suggest that 28% of children (under 16) belong to a Black, Asian or minority ethnic (BAME) group, considerably higher than the average for the total population of 16% BAME. Using an alternative definition of population diversity¹⁹, 32% of children belong to the non-'White British' population, compared to the all-age Bristol population average of 22%.

Rates vary considerably across the city; 50% of children in the Inner City & East are BAME, a much larger ratio than the 20% in North & West and 13% in South. Across wards the variation is even greater, ranging from 6% BAME in Whitchurch Park to 83% in Lawrence Hill.

In summary Bristol is seeing a rapid growth in its child care population and its population is becoming more ethnically diverse, with a changing distribution across the city.

¹⁸ Based on Nomis DC2101EW - Ethnic group by age 0-17 (ONS Census 2011)

¹⁹ Black, Asian or Minority Ethnic group (BAME) population includes all groups with the exception of all White groups. Non-'White British' population includes all groups with the exception of White British.

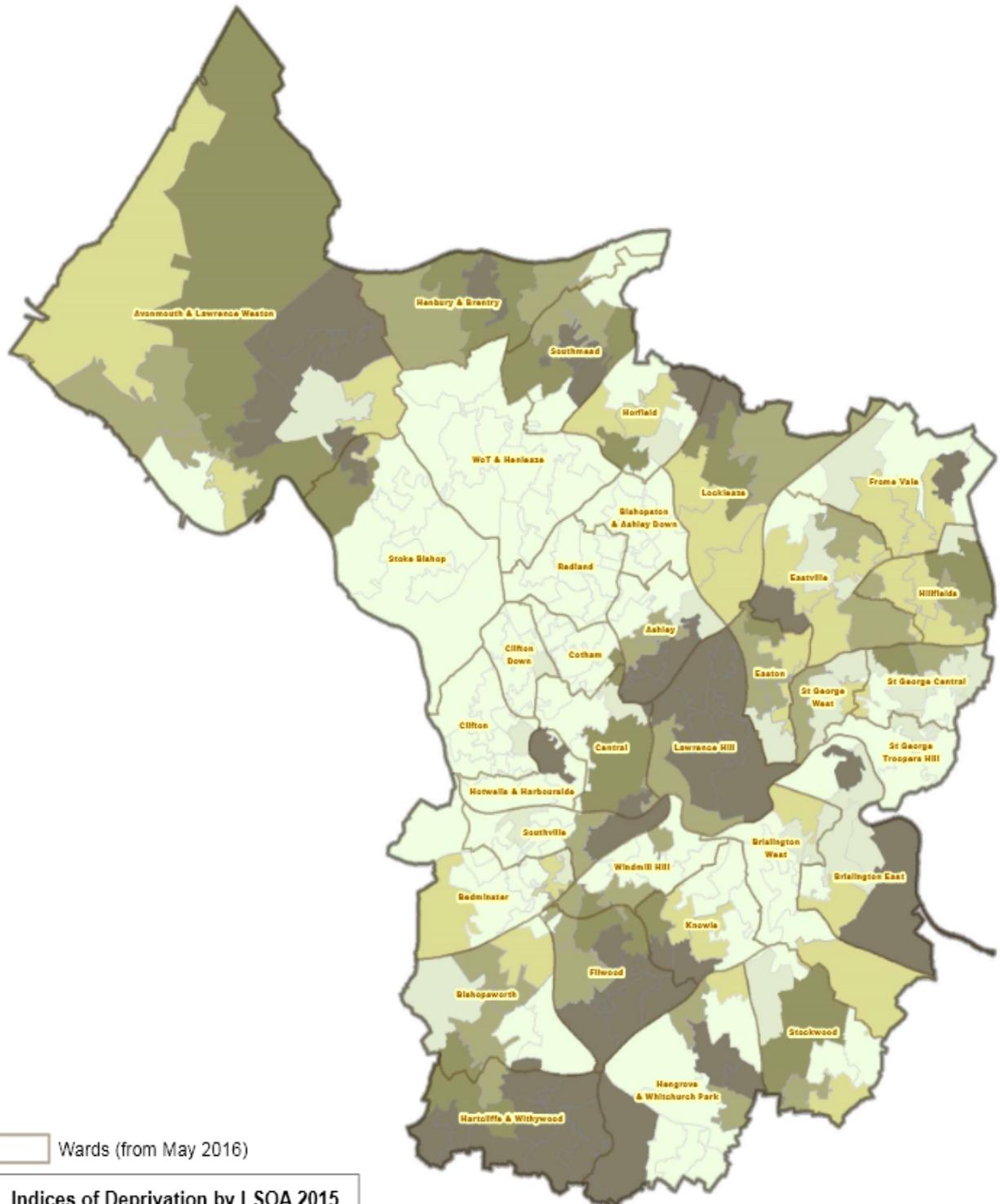
4.3. Deprivation

The greatest levels of deprivation in Bristol are in Hartcliffe & Withywood and Filwood in South Bristol, and in Lawrence Hill in the Inner City, but there are also pockets across the outer part of North Bristol (esp in Lawrence Weston, Southmead and Lockleaze). 16% of Bristol's total population lives in the 10% most deprived areas compared to 14% in 2010 – an increase of two percentage points. 22% of Bristol's children live in the 10% most deprived areas, and 14% of Bristol's older people. Bristol has 42 'areas' in the most deprived 10% in England. Of these 42 areas, 26 are in the most deprived 5% and 6 areas are in the most deprived 1% in England.

In 2010, only 1 area was in the most deprived 1% in England. However, since 2010 Bristol's relative rank in terms of Multiple Deprivation has increased (got worse) more than the other Core Cities, but from a less deprived starting point.



Bristol Wards & Deprivation



Wards (from May 2016)

Indices of Deprivation by LSOA 2015

Income Deprivation Affecting Children Rank

- 0-10% most deprived nationally
- 11-20% deprived
- 21-30% deprived
- 31-40% deprived
- 41-50% deprived
- Less deprived than average nationally

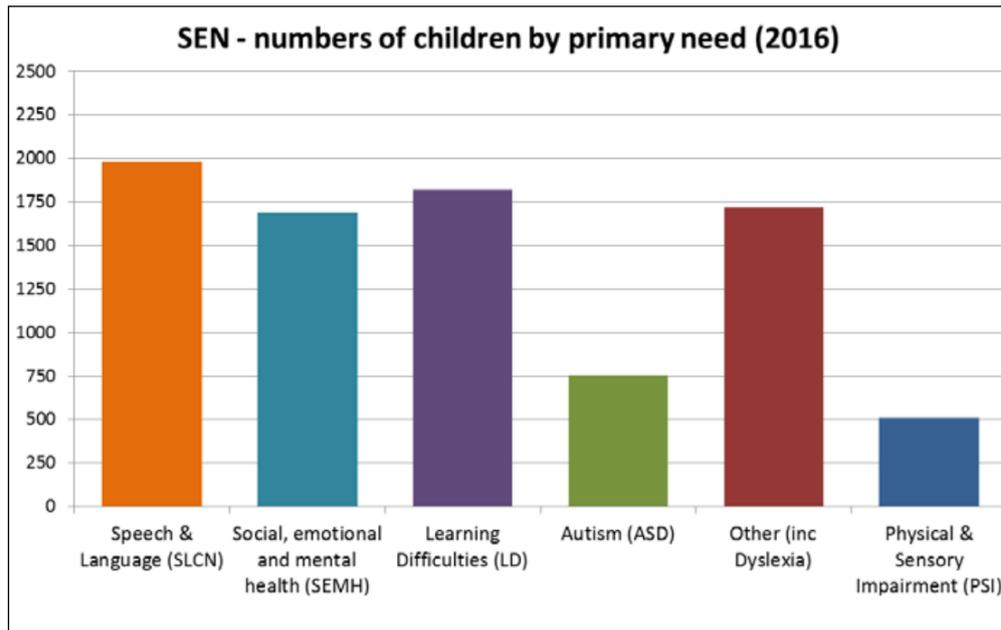


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 Bristol City Council, 100023406, 2010
 Produced by Information & Analysis Team
 Map Ref 17-026 11th July 2017

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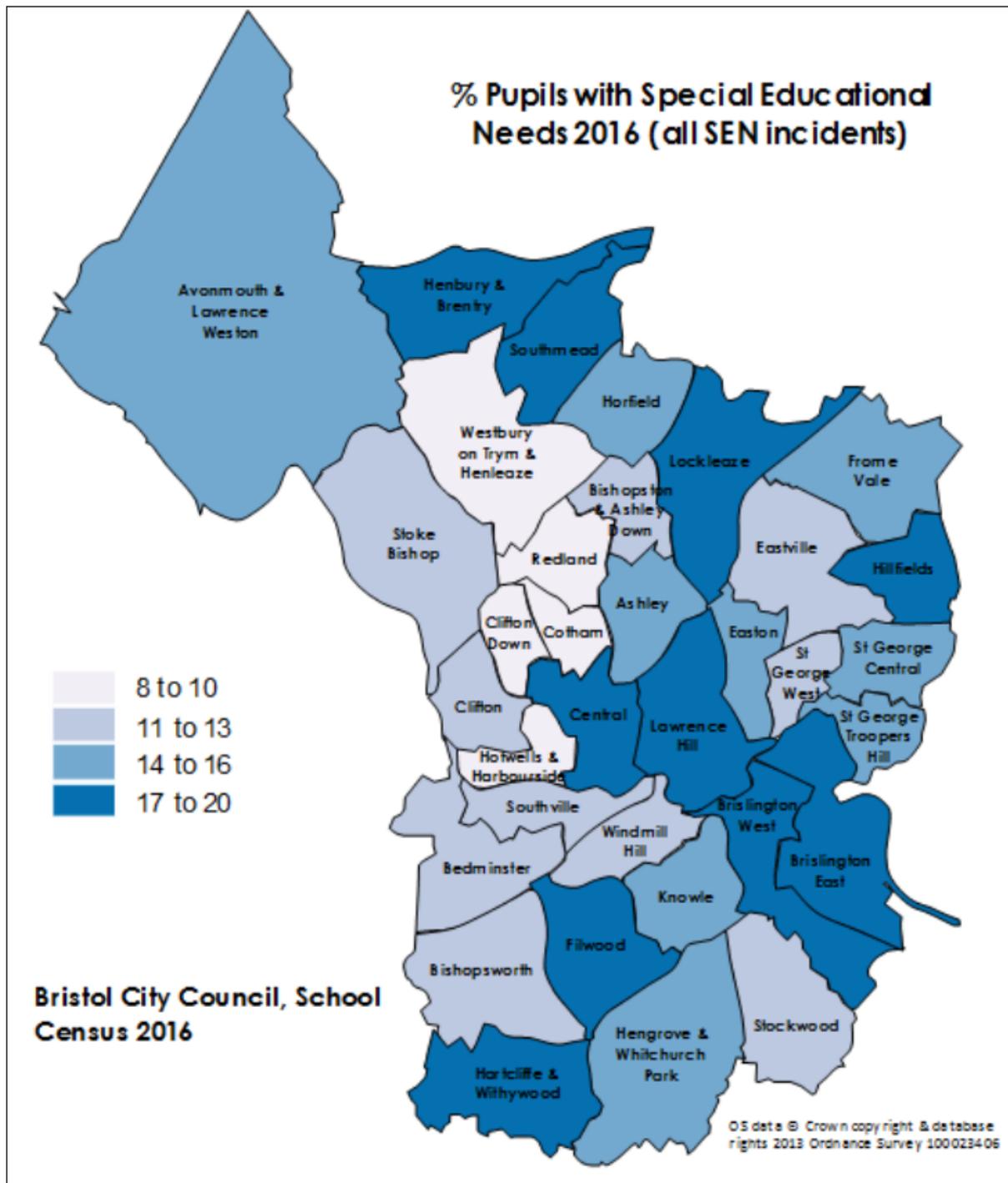
4.4. Special educational needs (SEN)

Overall in 2016 there were approx. 8,800 (15.2%) children in Bristol schools with some level of Special Educational Needs (SEN)²⁰.



Across Bristol numbers of children with SEN are higher in more deprived areas. By ward, numbers of pupils with SEN are highest in Hartcliffe & Withywood and Filwood, followed by Lawrence Hill and Avonmouth & Lawrence Weston. In contrast, there are less than 50 SEN children in Clifton Down. The diagram below shows pupils with SEN as a percentage of all Bristol pupils in that ward.

²⁰²⁰ January School Census 2016; Bristol City Council. This is all SEN incidents, including where the school provides additional support “in-house”, and included 275 out-of-area pupils in Bristol schools.



4.5. Working Families

The working age population in Bristol has increased by 28,700 people (10%) since 2005 compared to an increase of 6% in England and Wales as a whole, and there are now more working parents than ever. In 1996 (when comparable records began) 67% of married or cohabiting mothers with dependent children were in work and by 2014 this had increased to 72%. The Office for National statistics found that men with children are more likely to work than men without, and the percentage of lone mothers in work in 2014 was 62.3%.²¹

²¹ Families in the Labour Market, December 2014, Office for National Statistics

For the period January to March 2017, there were 7.3 million children living in working households and the percentage of children living in working households was at a record high of 58.7%, an increase of 1.4 percentage points over the past year²².

The 2017 Modern Families Index found that 75 per cent of parents surveyed would assess their childcare before taking on a new job or promotion - this is shown as a particularly strong element for mothers, seen in 81 per cent of respondents for 2017 up from 56 per cent for 2016.

5. Projected demand for places

As a result of the growing child population and other factors the take up of Free Early Education Entitlement (FEE) in Bristol has been steadily increasing over the past 3 years and we expect this to increase with the increase in entitlement to 30 hours.

Bristol	2014	2015	2016	January 2017
% 3 & 4 year olds accessing FEE	88.2%	87.1%	88.3%	88.8%
% 2 year olds accessing FEE	59.5%	52.8%	61.8%	72.2%

Across England, the childcare market shows signs of unmet demand for places and in the South West there are approximately 40 childcare places per 100 children (DfE 2016a²³). Increases in the number of working parents, the young person population and increased take up of FEE will put further pressure on the childcare market and highlights the need for continued investment in this contract to work with current and potential providers to ensure sufficiency, sustainability and high quality.

6. Equality and diversity

The Service is to provide the childcare sector with support, and because it is not a front line operational service we do not anticipate that the proposed changes to contract will directly negatively impact on people with protected characteristics' access to services, levels of representation or quality of life. Please see the full Equalities Impact Assessment for more information.

7. Our commissioning priorities

Bristol City Council faces a significant funding gap for the period 2017-2022²⁴. This makes it crucial that we contain the council's spend on all services whilst meeting our statutory duties as a local authority. There is a 24% saving for the new contract. The reduced funding will focus the contract on sufficiency, sustainability and safeguarding in out of school and holiday childcare provision. The contract will include an element of training delivery to meet the required Welfare and Safeguarding Standards. Professional development to support the quality of education provision is provided by the Early Years Team.

²² Working and workless households in the UK: Jan to Mar 2017, Office for National Statistics

²³ 'Childcare providers and inspections as at 31 March 2016'. <https://www.gov.uk/government/statistics/childcare-providers-and-inspections-as-at-31-march-2016>

²⁴ <https://www.bristol.gov.uk/council-spending-performance>

Following consultation, it is clear that training and continuing professional development (CPD) is very highly valued in the childcare sector. In order to ensure that there is as much capacity to provide this as possible, this contract will bring together two funding sources, and the total annual contract value will be £305,000. The contract will be sufficiently flexible to allow for changes to delivery and to the value of the contract, should the childcare landscape or the council's finances significantly change. The following table shows the different funding streams:

	Provider	Annual funding 17-18	Pro rata annual value 01-04-18 to 31-12-18	Annual funding 01-01-19 on
Childcare Development and Sustainability Contract	BAND	£292,984	£292,984	
CPD Service Level Agreement	BAND	£105,774	£45,205	
Combined Childcare Development and Sustainability Contract	To be determined following competitive tender			£305,000

We will continue to focus on our statutory duties but provide a reduced CPD.

8. Our procurement recommendations

We propose to recommission the Childcare Development and Sustainability Service as one citywide contract with limited changes to the current service specifications, to focus on sustainability and safeguarding, and also provide training to the childcare sector.

The contract will be for two years with the option to extend the contract by one year. There will be no inflationary uplift for the duration of the contract. Bidders will be expected to factor in any increased costs into their proposals. Annual contract reviews will take place each year and the financial position and changes will be considered as part of this.

9. TUPE

Current and potential providers will need to be aware of the implications of the Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE).

When a service activity transfers from one provider to another, the relevant employees delivering that service transfer from the old to the new provider and must transfer on the same contractual terms and conditions of employment. The new provider/employer takes on all the liabilities arising

from the original employment contracts. The council will obtain from current providers basic information about the employees who will potentially be affected by this commissioning process.

Bidding providers will need to consider the cost and other implications of TUPE. The council will provide bidders with the information it has collected from current providers about the employees who will be potentially affected. Providers must seek their own legal and employment advice on TUPE. It is the responsibility of bidders/ providers to satisfy themselves regarding TUPE requirements.

10. Next Steps

Indicative timetable for commissioning strategy and procurement of new service

Stage	From	To
Opportunity for providers to submit tenders to deliver Childcare Development and Sustainability Service	09/07/2018	10/08/2018
Advise Contract Award	01/10/2018	01/10/2018
TUPE and implementation	01/10/2018	31/12/2018
New Contract Start	01/01/2019	01/01/2019

11. Further information

Contacts:

- Children's Commissioning Team jcu@bristol.gov.uk
- Sally Jaeckle, Service Manager – Early Years sally.jaeckle@bristol.gov.uk

Web-page:

- https://www.bristol.gov.uk/en_US/schools-learning-early-years/early-years-and-childcare



Bristol City Council

Childcare Development and Sustainability Service

You Said, We Did – Consultation Response

April 2018

Introduction

Between 15th January 2018 and 11th March 2018 Bristol City Council carried out a consultation on the draft plan for the recommissioning of the Childcare Development and Sustainability Service.

The Childcare Development and Sustainability Service helps us fulfil our statutory duties in relation to early years and childcare provision by commissioning an external provider to facilitate and support the local childcare market in order to ensure the provision meets the needs of parents with children.

This document summarises the feedback we received and the council's response to the key issues raised during the consultation.

Methodology

During the twelve weeks consultation, we invited people to give us their views on the draft plan through the following methods:

- An electronic survey on Consultation Finder
- Email to childcare service providers, councillors and schools, with a link to the electronic survey along with the option to have us visiting them to talk about the plan.

Survey Results

This survey was open from the 15th January 2018 to the 11th March 2018. We received 135 responses as follows:-

1. What is your Role?

			Response Percent	Response Total
1	Parent/carer		10.48%	13
2	Childcare provider		76.61%	95
3	Other (please specify):		12.90%	16
			answered	124
			skipped	11

2. Our Aims

The aims of the commissioning strategy are to:

- Increase early years and childcare provision in areas of childcare insufficiency to meet parental needs.
- Support new and existing early years and out-of-school childcare providers in meeting registration, regulatory and legislative requirements
- Engage providers in networks and partnership working to ensure sufficiency and continuity of provision for families in their locality

- Ensure providers have robust business plans in place for an affordable and sustainable service
- Ensure providers increase their awareness and capacity to exploit funding and fundraising opportunities
- Help providers work towards maintaining maximum occupancy rates to improve business efficiency and service access for parents
- Support providers to continuously improve the quality of provision.

Question	Results
Do you agree with the aims we have listed?	Agree 95.16% (118)
	Disagree 2.42% (3)
	Don't Know 2.42% (3)

Question	Results
Are there any other aims you would add to the list?	Yes 22.81 (26)
	No 77.19 (88)

Sample Comments

- Ensure there are enough fully trained providers to meet the needs of all children with SEND and complex health needs.
- Provide access for Early Years providers to training and support in the EYFS.
- Exploring strategies to maximise direct funding under EYNFF and reduce need for LA top-slicing. It doesn't matter how "robust" business plans are if the rate paid is the worst ever (in real terms). Fees will keep rising until more funding is passed through of central government is pressured to index funding.

3. Our Commissioning Priorities

Bristol City Council faces a significant funding gap for the period 2017-2022. This makes it crucial that we contain the council's spend on all services whilst meeting our statutory duties as a local authority. There is a proposed saving for the Childcare Development and Sustainability Service. The reduced funding will focus the contract on sufficiency, sustainability and safeguarding in out of school and holiday childcare provision with less emphasis on training and guidance on the Early Years Foundation Stage.

It is possible that because Early Years providers may access less training and support from the new contract that the quality of provision may reduce - affecting outcomes for children aged 0-5 years. However there will still be some training and guidance provided and the focus on safeguarding should ensure provision stays of high quality as this is one of Ofsted's highest priorities.

Question	Results
Do you agree with our commissioning priorities?	Agree 34.68% (43)
	Disagree 50.00% (62)
	Don't Know 15.32 (19)

The higher number of responders disagreeing with the commissioning priorities is largely due to a common acceptance that training is linked to positive outcomes.

Sample Comments

- No - The emotional, social, physical and educational development of young children is crucial to their future success and well being. Training for providers and professionals that work in Early Years, if anything, should be increasing as we strive to up skill and equip our profession with a deeper and more comprehensive understanding of how to give our young people the best start in life. A saving of only £45,000 seems pretty measly in comparison to the loss of quality, personalised, efficient and effective training that we have under the current system.
- Early years development, is just as important, if not more so, as the first steps in schooling since creating the correct blend of education and development is key for the basis for school education and child development.
- The training and guidance we have received from BAND, as a pre-school, has been invaluable, and definitely helped us towards attaining our Outstanding Ofsted grade. Having detailed, focused guidance with all the Welfare requirements has been extremely beneficial.
- Funding for training has decreased so much over the years, with our funding rates so low but salaries increasing it will not be possible to afford high quality training for all staff example -BSCB costs average £80 per course, we are expected to have high quality staff on low quality funding
- The impossible situation EY providers are in with the 30 hours they deliver with insufficient funding and now their access to training is reduced seems very, very wrong.
- Support for childcare providers is paramount as they face onerous regulations and can only care for children well if properly supported.
- With the Children's Centre budgets significantly reduced and less resource for training/support through this service I am concerned about the Early Years sector in Bristol. There is already a Early Years workforce problem so if people are not supported and developed further what is keeping them in this sector? It's the staff who are the best resource so I feel they should be invested in.
- I think that there has been such a focus in recent years on Early Years that I would hope EY practices are robust enough now to allow the focus onto other child groups. It is often harder for working parents once a child becomes school age to find suitable wraparound or holiday childcare.
- I benefitted enormously from training both in a previous role as an early years practitioner in a nursery setting and in my current role as a registered childminder providing early education for eligible 2yr olds, 3 and 4 yr olds and children accessing enhanced provision. I share your concerns that less training will have an adverse effect on the quality of early years childcare and education. Five to Thrive training is particularly helpful in ensuring that children's needs are met.
- There is much affordable training available online which meets the statutory training requirement. Although this may not be suitable for all individuals it works well for us a day care setting as time to undertake training can be done from home or out of hours giving greater flexibility.
- Is it necessary to have Head teacher, assistant heads & teachers for care of 2-4 year olds? More front line staff would be conducive to safety & delivery of childcare

during austerity for those aged children.

4. Our Procurement Recommendations

We propose to recommission the Childcare Development and Sustainability Service as one citywide contract with limited changes to the current service specifications.

The current contract has an annual value of £292,984 per annum and we propose to recommission the Service with an annual value of £245,000 for the first two years, after which the funding will be reviewed. This reduction of 15.5% will be achieved by lowering the level of support offered to Early Years provision.

The contract will be for five years with two options to extend the contract by one year. There will be no inflationary uplift for the duration of the five year contract. Bidders will be expected to factor in any increased costs into their proposals. Annual contract reviews will take place throughout the life of the contract and the financial position and changes will be considered as part of this.

Question	Results	
Do you agree with our procurement recommendations?	Agree	31.71% (39)
	Disagree	38.21% (47)
	Don't Know	30.08% (37)

Responders disagree with the cut in funding because: a) the support to early years provision will have implications for the child development and b) sustainability.

Sample Comments

- Supporting Early Years settings is crucial if we are to deliver quality provision for children in their most formative years. Supporting us to be able to deliver high quality experiences to both children and families should be a high priority as it not only benefits children and families but in the long term saves vast sums of money. Early Years settings deal with an increasing array of SEN, behavioural, emotional, safeguarding issues with both children and families and without this support children will need lots of additional intervention at later stages in their lives .
- It is during early years settings that any additional needs for children should be assess and identified before reaching school. Early need support to identify SEN children so they are probably statemented for school.
- I understand all provisions are being impacted with budget costs however Bristol still has such deprivation a drop in budget means the ever increasing deprivation is not going to be address. Children need a good quality start education so they can reach their potential.
- A saving of £47k is minor compared to the overall effect that this will result in child development.
- There in now a larger service requirement due to higher birth rates and population. This combined with the increased level of inflation the reduction in budget is now significantly smaller (in real terms) than the 15.5.% suggested.
- The reduction of 15.5% on a stretched service already I feel is not acceptable. Promoting high quality childcare provision for all children is paramount so it is essential that services can get the support they require as and when needed. You

cannot lower the level of support offered to Early Year Providers any further than it already is.

- Not providing any inflationary lift over the five years will by default cause significant reduction in services that can be provided over the term, of the contract, putting providers at risk of RI or Inadequate.
All evidence and research shows that investing in early years saves money in social provision over time. Cutting early years now, will cause knock on costs for early years, schools and social care services.
- I understand the pressure on local government and that Bristol is in a challenging financial situation, but how bidders are expected to provide a consistent service across 5 years with no financial uplift and then a 2 year review which might impact on job losses and loss of service, this seems to be a lot for a bidding organisation to absorb!
- As a provider who offers early years provision and after school/holiday childcare it is difficult to choose between and I feel sad that we are having to make these choices when children's wellbeing is at risk.
- It's hard to say whether or not I agree as I can see that the recommendations will have a huge impact on the level of support that EY settings will be able to access but equally I am aware that the council have to reduce spending.
- I am concerned about the proposed reduction in this service and the impact it would have on our setting.
However, I do not underestimate the pressure that the council is under to cut budgets and appreciate that the proposed cuts might have been even deeper.

5. Are there any other comments you would like to make about our draft strategy?

These comments seem to be based on the assumption that the service for the support to early years provision will be removed.

Sample Comments

- I would like to see the council, working together with MP's put pressure on the government not to make the cuts the funding, stating the argument the cuts are likely to have a detrimental impact on the wellbeing of children and families.
- I can see that funding has to be cut from somewhere. But am concerned that training is what will be cut. And also that childcare provision is not limited to early years - it is also for throughout school in after school clubs, youth clubs etc. Will training for these also be affected? This is very troubling.
- I think that local knowledge and existing expertise in Bristol regarding the Early years, Play and childcare sector as well as the complexities of the city as a whole should be taken into consideration when awarding the contract.
- Taking away funding will mean less high quality childcare will be delivered to the children we look after, which will put more strain on schools as they may have to bring children up to a higher standard than we will if we are not given opportunities through training and support to help us become the best teachers we can be.
- Please support us not cut services further, if not then at least remove the word 'free' childcare and let us charge for the shortfall.

Respondents

How would you describe yourself?				
What is your age group?			Response Percent	Response Total
	1	Under 18	1.61%	2
	2	18 – 24	0.81%	1
	3	25-44	49.19%	61
	4	45-64	37.90%	47
	5	65-74	3.23%	4
	6	Over 75	0.00%	0
	7	Prefer not to say	7.26%	9
			Answered	124
			skipped	12
What is your gender?			Response Percent	Response Total
	1	Female	84.43%	103
	2	Male	9.02%	11
	3	Prefer not to say	6.56%	8
			Answered	122
			Skipped	14
What is your sexual orientation?			Response Percent	Response Total
	1	Lesbian, gay or bisexual	0.82%	1
	2	Heterosexual (straight)	78.69%	96
	3	Prefer not to say	20.49%	25
			Answered	122
			Skipped	14

Transgender (Is your gender identity different from that which you were assigned at birth?)			Response Percent	Response Total
	1	Yes	3.67%	4
	2	No	77.98%	85
	3	Prefer not to say	18.35%	20
			Answered	109
			Skipped	27

Are you disabled?			Response Percent	Response Total
	1	Yes	3.28%	4
	2	No	86.07%	105
	3	Prefer not to say	10.66%	13
			Answered	122
			Skipped	14

What is your ethnicity?			Response Percent	Response Total
	1	White British	80.65%	100
	2	White other	5.65%	7
	3	Black/Black British	0.81%	1
	4	Asian/Asian British	0.00%	0
	5	Mixed/dual heritage	1.61%	2
	6	Any other ethnic background	0.81%	1
	7	Prefer not to say	10.48%	13
			Answered	124
			Skipped	12

Do you have a religion or belief?			Response Percent	Response Total
	1	Yes	29.75%	36
	2	No	52.89%	64
	3	Prefer not to say	17.36%	21
			Answered	121
			Skipped	15

You Said, We Did

The table below shows how we have responded to the consultation.

You Said	We Did
<p>Make sure that there is enough training so that childcare providers can meet the needs of SEND children and those with complex health needs.</p>	<p>Early Years Portage and Inclusion Team offers specialised Continuing Professional Development (CPD) courses to providers supporting children with SEND and provide training for SENCO in PVI (Private Voluntary and Independent) settings.</p> <p>The Bristol Early Years Teaching School Consortium also offers training to providers supporting children with SEND, but at a cost to the provider.</p> <p>The Inclusion Library at the Bristol Education Centre enables settings to borrow resources to support SEND children.</p> <p>We will be merging this contract with the Early Years Childcare & Training Service contract to ensure training continues to be provided to childcare service providers, even though that contract also faces a reduction in value.</p>
<p>Need to ensure that providers are resilient in the face of changing government funding for early years.</p>	<p>We acknowledge that these are challenging times for providers. Hence, we are continuing to provide childcare development and sustainability service that offers direct support, advice and training to childcare providers.</p>
<p>Training for Early Years should be increasing because it is linked to good outcomes –</p>	<p>Certainly acknowledge that training for early years is linked to good outcomes. Hence, Bristol City Council Early Years Service provides CPD opportunities through the network CPD which is offered by Lead Teachers in all areas of Bristol.</p> <p>We will be merging this contract with the Early Years Childcare & Training Service contract to ensure training continues to be provided to childcare service providers.</p>

<p>Providers training budget is going down because of Early Years funding changes – this will compound those problems.</p>	<p>The Bristol Early Years Teaching School Consortium offers training to providers supporting all early years’ children, but at a cost to the provider.</p> <p>Bristol City Council Early Years’ Service provides CPD opportunities through the network CPD which is offered by Lead Teachers in all areas of Bristol.</p> <p>We provide CPD through our Bristol Standard which is a strand of Bristol Continuous Quality Improvement Cycle.</p>
<p>Recruitment and retention of staff is difficult</p>	<p>This is a national and local challenge and Bristol is working in close partnership with FE and HE establishments to ensure there are progression pathways of qualification training.</p>
<p>Five to Thrive training is particularly good</p>	<p>Yes, this training will continue through Children’s Centres which is completely separate to this service.</p>
<p>We should not be making cuts to this service – it is a short term fix that will increase costs in the long term.</p>	<p>Bristol City Council faces a significant funding gap for the period 2017-2022. However, are still required to meet our statutory obligations, but in line with the Council’s budgetary obligations.</p>
<p>Cuts are likely to make problems of deprivation worse.</p>	<p>Children’s Centres are located in areas of deprivation and their remit is to support children and families in those areas through a range of services.</p>
<p>The increasing number of children in Bristol makes this cut very short sighted.</p>	<p>Bristol City Council does invest in early years through the retention of children centres and through the lead teacher programme of support to individual early years settings.</p> <p>The Early Years Portage and Inclusion Team offers continuing professional development courses for services supporting SEND children.</p> <p>Whilst the Childminding Team offers relevant training courses for childminders.</p>

No inflationary uplift will make it very difficult to provide this service	We will test provider's resilience to no inflationary uplifts as part of the tender exercise.
Will training for out of school and holiday club providers be affected?	Although training courses will be reduced under this contract, priority will be given to out-of-school and holiday club providers.



Name of proposal	Recommissioning a Childcare development and sustainability contract
Directorate and Service Area	Children & Families
Name of Lead Officer	Carole Gardner

Step 1: What is the proposal?

We have consulted on the draft proposal for the recommissioning of a Childcare development and sustainability contract. The aims of this proposal is to re-commission an external provider to facilitate and support the local childcare market in order to ensure the provision meets the needs of parents with children. These are as follows:-

- Increase early years and childcare provision in areas of childcare insufficiency to meet parental needs.
- Support new and existing early years and out-of-school childcare providers in meeting registration, regulatory and legislative requirements
- Engage providers in networks and partnership working to ensure sufficiency and continuity of provision for families in their locality
- Ensure providers have robust business plans in place for an affordable and sustainable service
- Ensure providers increase their awareness and capacity to exploit funding and fundraising opportunities
- Help providers work towards maintaining maximum occupancy rates to improve business efficiency and service access for parents
- Support providers to continuously improve the quality of provision through the delivery of various training programs, by providing advice and direct support.

Proposal for the Childcare Development and Sustainability Contract

Bristol City Council faces a significant funding gap for the period 2017-2022¹ which makes it crucial that we contain the council's spend on all services whilst meeting our statutory duties as a local authority.

Therefore, we propose to carry out a competitive tender exercise for one contract, which will combine two contracts from different funding streams a) the Childcare Development & Sustainability Service and b) the Early Years & Childcare Training Services contract into one citywide contract. There will be limited changes to the current service specifications.

The existing contract for the Childcare Development & Sustainability Service will end on the 31st December 2018. The annual funding for this service is currently set at £292,984 per annum and we propose to recommission the Service with an annual value of £245,000 for the first two years, after which the funding will be reviewed. This reduction of 16.37% will be achieved by lowering the level of support offered to Early Years provision. Thus focusing on sufficiency, sustainability and safeguarding in out of school and holiday childcare provision with less emphasis on training and guidance on the Early Years Foundation Stage.

Whereas, the Early Years & Childcare Training Services annual value for the 1st April 2017 to 31st March 2018 was £105,744. This contract is however being extended (via a waiver) to the 31st December 2018 so as to align both contracts to commence delivery of services on the 1st January 2019. The annual value of this contact will be at a reduced value of £60,000 or 43.25%. The reduction of this service will be to focus on delivering continuing professional development courses to the early years, childcare and play workforce.

The combined contracts will become the single Childcare Development & Sustainability Service. The annual value of this contract will be £305,000 a combined reduction of 23.5%. This contract will be for a period of five years with two options to extend the contract by one year. There will be no inflationary uplift for the duration of the five year contract and bidders will be expected to factor in any increased costs into their proposals. Annual contract reviews will take place throughout the life of the contract and the financial position and changes will be considered as part of this.

Step 2: What information do we have?

Number of Childcare Places

At end March 2016 there were 7,735 Ofsted registered Early Years places for Childcare on non-domestic premises in Bristol, in addition to 2,474 for Childminder places².

We estimate that there are currently places for up to 4,057 children to attend Breakfast Clubs in Bristol. This estimate is based on the 44 out of 108 Breakfast Clubs who have indicated the maximum number of children they can facilitate. For Out of School Care we estimate there are 4,410 places in Bristol based on information from 67 out of 119 providers.

There are also an estimated 2,526 places for Holiday Out-of-School Schemes in Bristol based on information from 36 out of 53 providers.

Project Demand for places

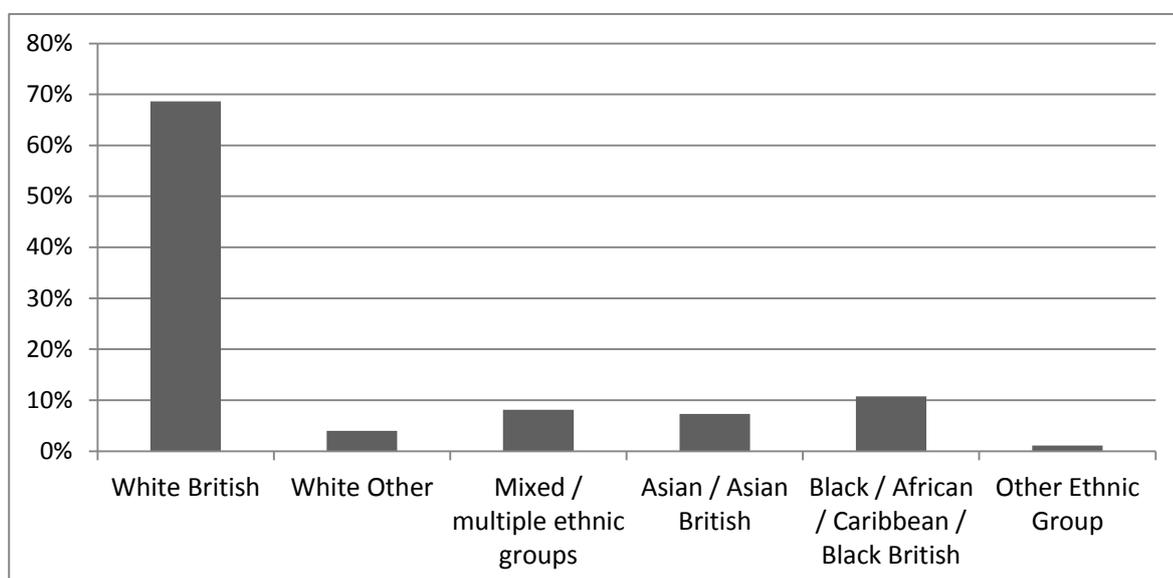
As a result of the growing child population and other factors the take up of Free Early Education Entitlement (FEE) in Bristol has been steadily increasing over the past 3 years and we expect this to increase with the increase in entitlement to 30 hours.

Bristol	2014	2015	2016	January 2017
% 3 & 4 year olds accessing FEE	88.2%	87.1%	88.3%	88.8%
% 2 year olds accessing FEE	59.5%	52.8%	61.8%	72.2%

Bristol child population projections by age 2017-2022

AGE	2017	2018	2019	2020	2021	2022
0-5	37,310	37,344	37,749	38,411	38,986	39,498
6-10	27,322	28,064	28,237	28,270	28,271	28,325
11-15	22,414	23,348	24,389	25,166	25,919	26,559
16-17	8,540	8,322	8,428	8,770	9,166	9,504
Total	95,589	97,077	98,803	100,614	102,342	103,887

Ethnicity of children 0-17 in Bristol³



The most recent estimates suggest that 28% of children (under 16) belong to a Black, Asian or minority ethnic (BAME) group, considerably higher than the average for the total population of 16% BAME. Using an alternative definition of population diversity⁴, 32% of children belong to the non-‘White British’ population, compared to the all-age Bristol population average of 22%.

Rates vary considerably across the city; 50% of children in the Inner City & East are BAME, a much larger ratio than the 20% in North & West and 13% in South. Across wards the variation is even greater, ranging from 6% BAME in Whitchurch Park to 83% in Lawrence Hill.

Ethnicity of Children under 5 years seen by Children's Centre⁵

Children's Centre	No of Children Seen	White British	Other White	Non White	Not Known
NORTH					
Avonmouth	569	50.40%	6.30%	8.30%	35.00%
Badocks Wood	1,157	53.00%	9.20%	19.40%	18.40%
Brentry & Henbury Court	1,275	58.90%	8.60%	14.90%	17.60%
Filton Avenue	2,023	54.90%	10.80%	18.10%	16.20%
Long Cross	969	53.10%	11.00%	10.60%	25.20%
Sea Mills & Stoke Bishop	724	54.40%	5.20%	10.50%	29.80%
Stoke Park	942	50.80%	6.70%	30.70%	11.80%
Upper Horfield	978	46.90%	8.00%	21.00%	24.10%
		53.40%	8.80%	17.40%	20.50%
CENTRAL					
Bannerman Road	536	25.60%	6.20%	46.60%	21.60%
Rosemary	735	5.60%	4.20%	74.10%	16.10%
St Pauls	2,215	42.80%	11.90%	36.70%	8.60%
St Philips Marsh & Barton Hill	1,079	23.50%	7.10%	55.80%	13.50%
The Limes	601	39.90%	7.20%	28.60%	24.30%
		31.30%	8.70%	46.10%	13.90%
EAST					
Broomhill & St Annes Park	1,239	59.60%	7.60%	13.50%	19.40%
Little Hayes & Hillfields	2,061	47.90%	6.60%	30.90%	14.70%
Speedwell	1,467	51.50%	10.80%	26.30%	11.40%
		52.10%	8.10%	24.90%	14.90%
SOUTH					
Compass Point	1,043	59.70%	6.40%	12.40%	21.50%
Four Acres & Bishopsworth	1,206	69.70%	2.40%	6.10%	21.80%
Hartcliffe	1,280	80.50%	3.80%	7.70%	8.00%
Knowle West	993	64.70%	5.50%	9.50%	20.30%
Redcliffe	1,626	52.30%	8.50%	24.20%	15.00%
Southern Links	1,934	62.70%	3.50%	6.80%	27.00%
		64.30%	5.00%	11.40%	19.30%

⁴ Black, Asian or Minority Ethnic group (BAME) population includes all groups with the exception of all White groups. Non-‘White British’ population includes all groups with the exception of White British.

⁵ ‘eStart’ Database. Children aged 0-4 years and based on the 2017-2018 financial year.

Total	26,652	52.20%	7.50%	22.50%	17.80%
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During 2017-2018 financial year, approximately 54.8% BAME (non White and other White) children under 5 years are located in Central Bristol, 33% in East Bristol and 26.2% in North Bristol. In addition, a high proportion of children seen by children’s centres are listed as ‘not known’ as it is deemed as sensitive data by end users.

Areas of Deprivation

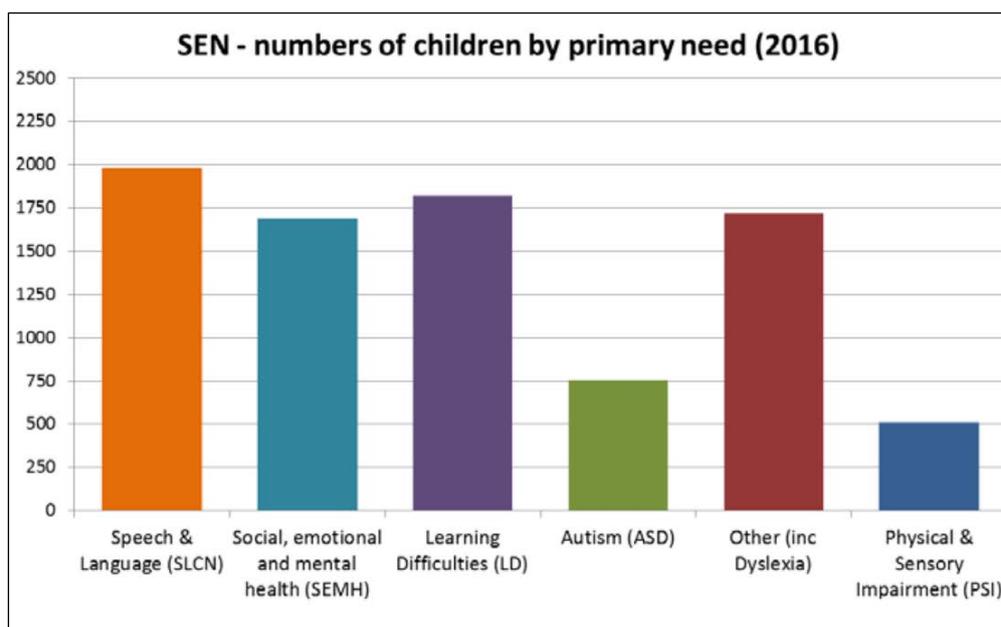
The greatest levels of deprivation in Bristol are in Hartcliffe & Withywood and Filwood in South Bristol, and in Lawrence Hill in the Inner City, but there are also pockets across the outer part of North Bristol (esp in Lawrence Weston, Southmead and Lockleaze). 16% of Bristol’s total population lives in the 10% most deprived areas nationally compared to 14% in 2010 – an increase of two percentage points. 22% of Bristol’s children live in the 10% most deprived areas, and 14% of Bristol’s older people.

Bristol has 42 ‘areas’ in the most deprived 10% in England. Of these 42 areas, 26 are in the most deprived 5% and 6 areas are in the most deprived 1% in England.

In 2010, only 1 area was in the most deprived 1% in England. However, since 2010 Bristol’s relative rank in terms of Multiple Deprivation has increased (got worse) more than the other Core Cities, but from a less deprived starting point.

Special Educational Needs

Overall in 2016 there were approx. 8,800 (15.2%) children in Bristol schools with some level of Special Educational Needs (SEN)⁶.



⁶ January School Census 2016; Bristol City Council. This includes all SEN incidents, including where the school provides additional support “in-house”, and included 275 out-of-area pupils in Bristol schools.

Across Bristol numbers of children with SEN are higher in more deprived areas. By ward, numbers of pupils with SEN are highest in Hartcliffe & Withywood and Filwood, followed by Lawrence Hill and Avonmouth & Lawrence Weston. In contrast, there are less than 50 SEN children in Clifton Down.

Disabled Children under 5 years seen by Children's Centre⁷

Children's Centre	No of Children Seen	Disabled	
		Y	N / NK
NORTH			
Avonmouth	569	2.30%	97.70%
Badocks Wood	1,157	1.60%	98.40%
Brentry & Henbury Court	1,275	1.10%	98.90%
Filton Avenue	2,023	0.90%	99.10%
Long Cross	969	3.10%	96.90%
Sea Mills & Stoke Bishop	724	0.70%	99.30%
Stoke Park	942	1.50%	98.50%
Upper Horfield	978	1.10%	98.90%
		1.40%	98.60%
CENTRAL			
Bannerman Road	536	0.40%	99.60%
Rosemary	735	0.70%	99.30%
St Pauls	2,215	0.90%	99.10%
St Philips Marsh & Barton Hill	1,079	0.60%	99.40%
The Limes	601	0.50%	99.50%
		0.70%	99.30%
EAST			
Broomhill & St Annes Park	1,239	0.90%	99.10%
Little Hayes & Hillfields	2,061	2.10%	97.90%
Speedwell	1,467	1.00%	99.00%
		1.40%	98.60%
SOUTH			
Compass Point	1,043	0.80%	99.20%
Four Acres & Bishopsworth	1,206	1.20%	98.80%
Hartcliffe	1,280	5.00%	95.00%
Knowle West	993	6.20%	93.80%
Redcliffe	1,626	0.60%	99.40%
Southern Links	1,934	1.80%	98.20%
		2.40%	97.60%
Total	26,652	1.60%	98.40%

During 2017-2018 financial year, the largest concentration of disabled children under 5 years are located in South Bristol, which is set at 2.4%.

Service Providers

The following table shows the number of early education providers that are registered with Ofsted in Bristol⁸:

Early education providers by type	Number of providers
Early Education Providers - Private , Voluntary and Independent Sector	145
Early Education Providers - Nursery Classes	40
Early Education Providers - Nursery Schools	12

The table below shows the number of Out-of-School providers by type and area in Bristol⁹.

Out of School Provider	East Central	North	South	N/A	Total
After-School Club or Activity	26	37	30	1	94
Breakfast Club	25	41	32	10	108
Holiday Out of School Scheme	10	25	14	4	53
Out of School Care	30	46	31	13	120

For further information please see the draft commissioning strategy sections 3, 4 and 5.

Monitoring Data

Monitoring data captured from the existing service provider are as follows:-

- **Deprivation stats:** Based on the postcodes of settings we work with 74 settings (c.36% of our membership) are within the top 3 deciles of the Government's Multiple Deprivation index i.e. the most deprived 30%.
- **Equalities stats:** Based on monitoring of children attending our full member groups (c.20% of our membership)
 - 51% are boys; 49% girls
 - 10% are BAME
 - 2% are disabled
- **Access to Childcare Funding (ACF), in 2017/18**
 - 26 disabled children aged 5 – 12 attended 414 Breakfast Club, Afterschool Club & Holiday Play scheme sessions (1,135 hours) at 14 different settings in Bristol.

Considering an estimated 28% of children in Bristol (under 16) belong to a Black, Asian or minority ethnic (BAME) group, there is an under representation of children

⁸ Source: Tribal database November 2017

⁹ Source: Tribal database December 2017

accessing services. Therefore there is the need to ensure a robust monitoring process is put in place that will enable us to assess changes in take-up.

Consultation Data

The following table gives a percentage breakdown of 135 responses received from the consultation on the draft proposal for the recommissioning of a Childcare development and sustainability contract.

Age Group (%)	Under 18	1.6	18-24	0.8	25-44	49.1	45-64	37.9	Over 65	3.2	Prefer not to say	7.2
Gender (%)	Female	84.4	Male	9.2							Prefer not to say	6.5
Sexual Orientation (%)	Lesbian, gay or bisexual	0.8	Heterosexual	68.7							Prefer not to say	20.4
Transgender (%)	3.6										Prefer not to say	18.3
Disabled (%)	3.2										Prefer not to say	18.3
Ethnicity (%)	White British	80.6	White Other	5.6	Black/Black British	0.8	Asian/Asian British	0.0	Mixed/ Dual Heritage	1.6	Prefer not to say	10.4
			Other Ethnic	0.8								
Religious (%)	29.7										Prefer not to say	21

Concerns were raised about a) drop in budget means the ever increasing deprivation is not going to be addressed and b) the impact a reduced budget will have on identifying children with SEN in early years settings.

Step 3: Who might the proposal impact?

All equality groups

Potential adverse impact	Mitigation / justification
This contract is based on our statutory requirement under Childcare Act 2016 & 2017 to ensure a sufficient universal service provision across Bristol. However, we expect it will concentrate more efforts	Service provider to place more emphasis on market development and sustainability in areas of high deprivation. Although Children Centres do concentrate in the most deprived areas of Bristol,

on areas with high levels of deprivation. Fewer number of child protection and Paediatric First Aid courses.	there is currently a low take up of support under the Early Years Childcare Training Service contract. Such training is already being provided through the Early Years Childcare Training Service contract, which will now be merged into the Childcare Development & Sustainability contract. Thus obtaining efficiency savings where necessary.
Potential benefit	How can be maximised
We will have in place a contract with an external provider, which will include the requirement to comply with the public sector equality duty. Thus, tendering of this service will include checking the provider's equality policy.	Use the council's standard equalities criteria which check the bidder's understanding of the Equality Act 2010 and public sector equality duties, their employment practices and that their service will be tailored to meet the range of needs of people with different protected characteristics. The bidders' answers will be evaluated by an expert from the council's equalities team.
Carrying out periodic Contract Monitoring to identify the support being offered by the contractor to childcare services.	We will ensure that the data captured includes location, BAME and SEND.

Age

Potential adverse impact	Mitigation / justification
None identified	
Potential benefit	How can be maximised
See all equality groups above	

Disability

Potential adverse impact	Mitigation / justification
The consultation identified that there may be difficulties in identifying children with SEN in early years settings because of the reduction in funding. The largest estimated concentration of children with SEND are in Hartcliffe & Withywood and Filwood, followed by Lawrence Hill and Avonmouth & Lawrence Weston.	Children's Centres are present in Hartcliffe, Avonmouth and Lawrence Weston which has the largest concentration of children with SEND. Children Centres are not impacted by this proposal. We will ensure that priority is given to childcare service providers in areas of

Weston.	high deprivation and where Children's Centres are not located.
Potential benefit	How can be maximised
We will require periodic monitoring of SEND children that access the childcare service.	

Gender

Potential adverse impact	Mitigation / justification
See all equality groups above	
Potential benefit	How can be maximised

Ethnicity

Potential adverse impact	Mitigation / justification
The largest estimated concentration of BAME children are in the City and East of Bristol (50%). 20% in North West and 13% in South. Lawrence Hill has as much as 83%.	Children's Centres are present in Easton, Brislington and St Pauls, which has the largest concentration of BAME children. Children Centres are not impacted by this proposal. Ensure priority is given to childcare service providers in areas of high deprivation and where Children's Centres are not located.
Potential benefit	How can be maximised
We will require periodic monitoring of ethnicity of a) staff of the childcare service and b) the BAME children that access the childcare service.	

Religion

Potential adverse impact	Mitigation / justification
See all equality groups and ethnicity above	
Potential benefit	How can be maximised
We will require monitoring of all children to assess access to service.	

Sexual orientation

Potential adverse impact	Mitigation / justification
See all equality groups above	
Potential benefit	How can be maximised

Step 4: So what? – *This section will be completed following the consultation*

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 EqIA has highlighted the potential impact on BAME and children with SEND living in concentrated areas of high levels of deprivation. This has been reflected the proposal to improve market development and sustainability in these areas and monitor service delivery.
4.2 What actions have been identified going forward?
<p>We will ensure that the provider’s periodic monitoring data reflects protected characteristics living in areas of deprivation.</p> <p>This can be achieved by putting in place action planning around ensuring the monitoring data is reflecting the population of Bristol.</p> <p>We will also ensure that any provider takes positive action in recruitment to ensure their staffs reflects the population of Bristol.</p>
4.3 How will the impact of your proposal and actions be measured moving forward?
By analysing the monitoring data.

Service Director Sign-Off: Sue Rogers	Equalities Officer Sign Off:  Duncan Fleming
Date: 20 th April 2018	Date: 19/4/2018

Eco Impact Checklist

Title of report: Childcare Development and Sustainability Service				
Report author: Carole Gardner				
Anticipated date of key decision: 3 rd July 2018				
Summary of proposals:				
<p>The aims of this proposal is to re-commission an external provider to facilitate and support the local childcare market in order to ensure the provision meets the needs of parents with children. These are as follows:-</p> <ul style="list-style-type: none"> • Increase early years and childcare provision in areas of childcare insufficiency to meet parental needs. • Support new and existing early years and out-of-school childcare providers in meeting registration, regulatory and legislative requirements. • Engage providers in networks and partnership working to ensure sufficiency and continuity of provision for families in their locality. • Ensure providers have robust business plans in place for an affordable and sustainable service. • Ensure providers increase their awareness and capacity to exploit funding and fundraising opportunities. • Help providers work towards maintaining maximum occupancy rates to improve business efficiency and service access for parents. • Support providers to continuously improve the quality of provision through the delivery of various training programs, by providing advice and direct support. 				
Will the proposal impact on...	Yes/ No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	No			
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	No			
Production, recycling or disposal of waste	No			
The appearance of the city?	No			
Pollution to land, water, or air?	No			
Wildlife and habitats?	No			
Consulted with: Nicola Hares				

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

There are no significant environmental impacts associated with this report and a full Eco Impact Assessment is not needed.

Checklist completed by:

Name:	Carole Gardner
Dept.:	Strategic Children's Commissioning
Extension:	
Date:	5 April 2018
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Transport Capital Programme budget allocation 2018/19	
Ward(s)	Citywide	
Author: Adam Crowther	Job title: Head of Strategic City Transport	
Cabinet lead: Mhairi Threlfall, Transport and Connectivity	Executive Director lead: Colin Molton, Interim Strategic Director, Growth and Regeneration	
Proposal origin: BCC Staff		
Decision maker: Cabinet Member		
Decision forum: Cabinet		
<p>Purpose of Report: To seek approval for the budget allocation of the West of England Combined Authority Grant funding for Bristol City Council Transport Capital Programme for 2018/19, and Bristol City Council Maintenance allocation as detailed in Appendix A as follows; Highways Capital Maintenance £3,132,000; Integrated Block £2,743,000; Incentive Funding £652,000; Pothole Funding c/f 17/18 £177,000; Winter Pothole Funding 18/19 £357,387; Highways Infrastructure Chocolate Path £580,000.</p> <p>Appendix A provides commentary as to the allocation of both the West of England Combined Authority Grant and supplementary information in relation to Chocolate Path scheme. The schemes detailed in Appendix A do not comprise the full Transport Capital Programme 18/19 as they exclude scheme specific grant funded schemes. Examples of this being Bus Shelter replacement programme, Wedmore Vale Clear Air Zone, Department for Transport Challenge Fund A4/4174 and Scotland Lane, Chocolate Path and Redcliffe Bridge schemes.</p> <p>It is anticipated that some individual contracts will be in excess of £500k. Bristol City Council has in place an existing Term Contract, for emergency response works, and a Framework, covering 15 different Lots, which will both be used to procure and deliver works covered by the above budgets. These arrangements are compliant with the usual procurement regulations. Authority is sought for the Strategic Director, in consultation with the cabinet lead for transport and connectivity to procure all identified works of a value up to £500k, pursuant to these arrangements.</p>		
<p>Evidence Base: The Combined Authority receives funding from Government in respect of a range of highways and transport projects and allocates this across the three constituent councils. The Integrated Transport Block grant allocation provides funding support to local authorities for transport capital improvement schemes worth less than £5 million. This funding covers public transport, accessibility, reducing pollution, road safety, congestion, carbon .</p> <p>The Highways Capital Maintenance grant allocation is provided by Government to local authorities for highways maintenance as either capital, which is used for significant renewal of assets i.e. capital investment as opposed to ongoing revenue spending for day to day maintenance.</p> <p>Incentive Funding is allocated by the Government, as part of their Highways Efficiency Maintenance Programme (HMEP), whereby local authorities are supported to make efficiency savings in their day-to-day activities through use of asset management principles. Officers are working with the Cabinet Member for Transport and Connectivity to</p>		

bring forward a Cabinet report later this year laying out our asset management policy and strategy. Currently Bristol City Council receives the full allocation of Incentive Funding by dint of fact that we are members of a Combined Authority.

Pothole Funding allocations are one off grant funding announced by the Government for use in the maintenance and repair of our highway network resulting from pothole damage.

Recommendations:

That Cabinet:

1. Approve the West of England Combined Authority budget allocation for the Transport Capital Programme for 18/19 as follows;
 - a. Highways Capital Maintenance £3,132,000;
 - b. Integrated Block £2,743,000;
 - c. Incentive Funding £652,000;
 - d. Pothole Funding c/f 17/18 £177,000;
 - e. Winter Pothole Funding 18/19 £357,387;

2. Approve the Bristol City Council Maintenance allocation 18/19 for the Chocolate Path of £580,000.

3. Delegate to the Interim Strategic Director Growth and Regeneration, in consultation with the Cabinet Member for Transport and Connectivity, the authority to appoint contractors to carry out all works identified in Appendix A up to a value of £500k, making use of an existing Term contract and/or approved Frameworks.

Corporate Strategy alignment:

The project directly aligns and will support the Mayor deliver Corporate Strategy Themes of;

- Fair and Inclusive;
- Well Connected;
- Wellbeing;
- Belonging.

City Benefits:

The Corporate Strategy recognises the positive health effects of good quality built environment and transport infrastructure. Giving access to good quality learning, decent jobs and homes as well as making Bristol a joined up City, linking up people with jobs and each other. Improve physical and geographical connectivity by tackling congestion and progressing towards a Mass Transit System.

Consultation Details:

Cabinet Member for Transport and Connectivity, Mhairi Threlfall, has been consulted on the development of the proposed Transport Capital Programme for 2018/19.

Revenue Cost	£0	Source of Revenue Funding	None required
Capital Cost	£7,641,387	Source of Capital Funding	Highways Capital Maintenance £3,132,000; Integrated Block £2,743,000; Incentive Funding £652,000; Pothole Funding c/f 17/18 £177,000; Winter Pothole Funding 18/19 £357,387; Chocolate Path £580, 000.
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice:

This proposal seeks approval for the allocation and spending of the 18/19 transport capital programme funding provided via WECA, totalling £7.061m. Transport team has prioritised the list of capital expenditure and projects with Cabinet Member for Transport and Connectivity. Please see Appendix A for the list of schemes. The report also seeks

permission to progress investigation and design works on Chocolate Path totalling £580k as included under the approved capital programme.

Finance Business Partner: Tian Ze Hao

Date: 17/05/2018

2. Legal Advice:

The intention is that all works commissioned using the grant funding will be procured using either an existing Term contract or approved Frameworks. Procurement will need to comply with the usual Procurement Regulations. Authority is also sought for the Executive Director to procure all contracts to a value of £500k.

Legal Team Leader:

Eric Andrews, Team Leader, Legal Services, 25th June 2018

3. Implications on ICT:

There are no identifiable IT Implications in this initiative

ICT Team Leader:

Ian Gale, Head of ICT , 8th April 2018

4. HR Advice:

No HR implications evident.

HR Partner:

James Brereton (People & Culture Manager), 10th April 2018

EDM Sign-off	Interim Director Growth and Regeneration	23 rd May 2018
Cabinet Member sign-off	Cabinet Member Mhairi Threlfall, Transport and Connectivity	23 rd April 2018
CLB Sign-off	Corporate Leadership Board	29th May 2018
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4 th June 2018

Appendix A – Further essential background / detail on the proposal	YES
Appendix B – Details of consultation carried out - internal and external	NO
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	YES
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers	None
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO

PROPOSED TRANSPORT CAPITAL PROGRAMME 2018/19			
Grant Description	Allocation	Funding Source	Date of Cabinet report decision
Highways Capital Maintenance	£3,132,000	WECA approval letter 28 March 2017	going to 3rd July 2018
Pothole Fund c/f 17/18	£177,000	WECA approval letter 09 February 2018	going to 3rd July 2018
Winter 18/19 Pothole Funding	£357,387	WECA approval letter 15 May 2018	going to 3rd July 2018
Incentive Allocation	£652,000	DfT - WECA letter 28 March 2017	going to 3rd July 2018
Highways Infrastructure Chocolate Path	£580,000	Bristol City Full Council, 20 February 2018	going to 3rd July 2018
Integrated Block	£2,743,000	WECA approval letter 28 March 2017	going to 3rd July 2018
Total	£7,641,387		
Highways Maintenance			
Carriageway Reconstruction and Resurfacing (P13507)			
Classified Surface Dressing Treatment		£150,000	This is to carry out preventative maintenance on various classified roads, so to protect them from environmental damage and so substantially prolong their life. The process also helps to restore skid resistance. The process offers an economical means of maintaining a road and is backed by the Government. Preventative maintenance is a more efficient way of working and offers environmental benefits when compared to replacement works.
Unclassified Surface Dressing Treatment		£485,000	This is to carry out preventative maintenance on various unclassified roads, so to protect them from environmental damage and so substantially prolong their life. The process also helps to restore skid resistance. The process offers an economical means of maintaining a road and is backed by the Government. Preventative maintenance is a more efficient way of working and offers environmental benefits when compared to replacement works.
Micro Asphalt surfacing		£350,000	This is to carry out preventative maintenance on various roads, so to protect them from environmental damage and so substantially prolong their life. The process offers an economical means of maintaining a road and is backed by the Government. Preventative maintenance is a more efficient way of working and offers environmental benefits when compared to replacement works. The process differs from surface dressing in that it regulates so to remove minor undulations, but it comes with certain constraints and is not suitable for all sites. It is also more expensive than surface dressing
Surface Reconstruction		£465,000	This is to replace road layers due to failure caused by traffic loading or in areas where preventative techniques cannot be used, ie. busy junctions and roundabouts. The replacement may be just the surface course (top layer) or lower layers of the road if foundation failure is present. Reconstruction is expensive, and is therefore only used where preventative maintenance would not be suitable. It also has a higher impact upon the environment.
Preventative maintenance surfacing preparation for 2019		£475,000	This is preparation for next years preventative maintenance (surface dressing and micro asphalt). It is to patch the road where foundation failures exist, so to restore strength to weak spots and regulate where any substantial undulations exist. It has to be carried out in advance of preventative maintenance, to allow the bitumen residue to wear off prior to being surfaced.
Capital Small carriageway works		£475,000	Essential road repair works to enable BCC to meet its statutory s41 of the Highways Act. Works are identified through statutory inspections and reports from the public which are not an immediate (category one) defect but will likely deteriorate to become dangerous. These defects can be batched together to form a small works order; an essential process to enable Highways to meet the savings tracker by reducing the pressure of the reduced revenue budgets by using capital funds to repair the road and thus overall improving the condition of the network. Works will be commissioned through the Bristol Highway Asset Management and Associated Works Framework (HAAWF) Lot 6 (works up to £150,000. Works will be city wide, but likely to be more focused more on the strategic and classified network as this is where we have a higher frequency of inspections and receive the greatest number of enquiries.
Footway Reconstruction and Resurfacing (P13528)			
Preventative Footway surfacing (pre-patch, slurry seal)		£400,000	This is to carry out preventative maintenance on various bituminous footways, so to protect them from environmental damage and so substantially prolong their life. The process offers an economical means of maintaining footways and is backed by the government. Preventative maintenance which is a more efficient way of working and offers environmental benefits when compared to replacement works.
Structural footway repairs		£140,000	This is to replace footpaths that have failed and are therefore in a poor condition. They are bituminous footpaths which are beyond preventative maintenance or hard paved footpaths including slabs or of concrete construction. Replacement work will result in less adhoc small repairs, so reduce the pressure on revenue
Capital small footway works		£150,387	Essential footway repair works to enable BCC to meet its statutory s41 of the Highways Act. Works are identified through statutory inspections and reports from the public which are not an immediate (category one) defect but will likely deteriorate to become dangerous. These defects can be batched together to form a small works order; an essential process to enable Highways to meet the savings tracker by reducing the pressure of the reduced revenue budgets by using capital funds to repair the footway and thus overall improving the condition of the footway network. Works will be commissioned through the Bristol Highway Asset Management and Associated Works Framework (HAAWF) Lot 6 (works up to £150,000. Works will be city wide, but likely to be more focused more on pedestrianised areas and footways with greater footfall as this is where we have a higher frequency of inspections and receive the greatest number of enquiries.
Structures repairs and inspection of structural assets (P13498)			
Cumberland Basin safety repairs		£100,000	Essential safety critical concrete repairs to strategic structures and bridges along the network on Cumberland Basin. The replacement/repairs will ensure that the Authority meets its statutory duty in relation to the highway and public safety and facilitates the full use of the asset.
Retaining wall Repairs		£100,000	Essential safety critical repairs to retaining Walls and bridge parapets due to ongoing road traffic collision repairs along the network. The replacement/repairs will ensure that the Authority meets its statutory duty in relation to the highway and public safety and ensures full use of the network.
Parapet repairs		£50,000	Essential safety critical repairs to railings and bridge parapets due to ongoing road traffic collision repairs along the network. The replacement/repairs will ensure that the Authority meets its statutory duty in relation to the highway and public safety and allows full use of the network.
St Philips Causeway principal inspection and structural assessment		£180,000	Programmed Principal Inspection of Saint Phillips Causeway viaduct, which is a strategically primary orbital route structure for Eastbound traffic to Bath and Wells. This 890m viaduct structure requires a full Principal Inspection to ensure the Council meets its statutory duty to inspect and maintain this structure. The inspection will be done under full lane closures conditions on this high speed route and will involve specialist inspection access plant. The information resultant from this inspection will allow the Authority to programme and plan the future critical Capital investment for the viaduct structure at a point of intervention that is critical for the whole life cycle condition management of the structure. The information from this Principal Inspection will facilitate the ability to evidence condition defects in any future bid for Capital funding.
Drainage asset renewals (P13519)			

PROPOSED TRANSPORT CAPITAL PROGRAMME 2018/19			
Asset renewals		£100,000	This is to carry out repair to priority gullies which following investigation have been shown as non-running (not working). We have prioritised non-running gullies and the allocated budget will be spent on ones which are located in identified flood areas, the strategic road network and gullies which have had repeated call-outs on and therefore represent an on-going revenue cost.
Portway investigation and design		£30,000	
Street lighting column replacement (P13593)			
Lantern replacement		£200,000	This is to replace existing lanterns with modern LEDs. LEDs last longer than the previous generation of lanterns and cost considerably less to run, therefore resulting in significant long term savings and offer increased reliability.
Non galvanised steel and Cast column refurbishment		£350,000	This is to replace old steel lamp columns which are prone to rusting. Typically they have exceeded their design life and many could be considered structurally unsound. Some of these columns are unfused, which is an additional safety concern.
		Subtotal	£4,200,387
Projects			
Chocolate Path - major structural maintenance works		£580,000	Investigatory and design work for structural stabilisation of an 80m section of failed river retaining wall, chocolate path and adjacent heritage railway trackbed.
		Subtotal	£580,000
Urban Traffic Management Control (UTMC) 18/19			
CCTV Expansion to cover current blind spots: York Rd/St Lukes Rd, Anchor Rd/ Explore Lane, Bearpit		£19,000	Increase the view of the Highway Network to enable more robust traffic monitoring. Also aids Bristol Ops Centre with public security
Junction Improvement Project: A38/ Dorian Rd		£1,500	Small technical adjustment to signal controller will aid traffic flow through junctions
Region Improvement Project: Portway P&R Region		£3,500	Technical improvements to create better traffic flow for P&R buses along the corridor
		Subtotal	£24,000
Traffic Signals 18/19			
Bedminster Fire Station wigwags		£20,000	Replacement of existing wigwag signs following them being life expired and no longer maintainable. Old wig wags removed during Metrobus works and temporary traffic lights are currently being in their place. Wig wags are required for the safe exiting of fire appliances
Avonmeads Crossing		£75,000	Life expired signal equipment and in excess of 20 years old. Poles corroded giving risk to them collapsing. Controller also obsolete
Muller Rd/Heath Rd pelican		£75,000	Life expired signal equipment and in excess of 20 years old. Poles corroded giving risk to them collapsing. Controller also obsolete
Plimsoll Bridge gantry sign refurbishment		£50,000	Gantry signs having frequent faults leading to expensive call outs to maintain. Investigation, cabling and modification works required to reduce burden of responsive maintenance
South Liberty Lane shuttle		£100,000	Life expired signal equipment and in excess of 20 years old. Poles corroded giving risk to them collapsing. Controller also obsolete. Carriageway surface and footway surface in poor state and requires to be replaced as part of scheme - frequent maintenance visits being made to the site to repair potholes
St Lukes Rd/Hill Avenue		£60,000	30 year old pelican crossing condemned last year and removed on electrical safety grounds. Site running on Temporary Signals at nearly £1000 per week.
Merchants Rd / Hotwells Rd		£150,000	Life expired signal equipment and in excess of 25 years old. Poles corroded giving risk to them collapsing. Controller also obsolete
17/18 scheme completion		£50,000	Required to complete schemes that are being implemented across the financial year
Eastville Roundabout - signing and lining		£70,000	Redesign of signing and lining at the roundabout to increase traffic flow and make lane layouts more intuitive. Scheme promoted by Neighbourhood Partnership and continues to be supported by Members
		Subtotal	£650,000
Public Rights of Way			
Rights of way surfacing improvements		£18,000	Upgrading rights of way surfaces in the urban area to make them suitable for all weather use and those with mobility needs
Rights of way infrastructure improvements		£9,000	Replacement of stiles etc. for systems that suit those with mobility needs
Signing of rights of way		£7,000	Statutory requirement to sign rights of way. Ongoing issue of replacing old signs, damaged signs and signing new routes
Promotion of rights of way associated legal orders		£6,000	
		Subtotal	£40,000
Car Parking 18/19			
Long Ashton P&R repair and improvements		£250,000	Works include: Installation of height barriers to prevent access by unauthorised vehicles Installation of new security gates to facilitate Metrobus access and public rights of way while maintaining site security. This will also necessitate adjustments to fencing around the site. CCTV improvement works to extend existing coverage. Further improvement works to the pavilion building
Bus Lane Enforcement, new camera Wells Road		£21,000	Measure to ensure monitoring and enforcement by the Council's Traffic Control Centre and bus lane enforcement team.
		Subtotal	£271,000
Strategic City Transport			
Bus priority at signals: work required to upgrade UTC/ SCOOT sites to Central TSP		£20,000	
Portway gap cycle route design only - Provision of a shared use footway to the south of Portway Park & Ride site, involving widening of a footway in to a grass verge.		£25,000	Design only for a scheme that would complete the off-road cycle path between the city centre, Portway Park & Ride, and Avonmouth/Severnside. The scheme would support housing and jobs growth at Avonmouth identified in the Local Plan Review, and support the creation of a multi-modal transport hub at Portway P&R. Feasibility work is required, but the scheme is anticipated to comprise widening an existing footpath in to a grass verge to create a shared use/light segregated cycle route.
Coronation Road (part of CAF2 unfunded). Improvement to crossing at Coronation Road j/w Dene Lane.		£150,000	Upgrade of signals adjacent to Gaol Ferry Bridge, re-aligning the pavement on Coronation Road adjacent to junction with Dean Lane, consultation to form basis of how to provide safer access from Dean Lane to crossing to Gaol Ferry Bridge.

PROPOSED TRANSPORT CAPITAL PROGRAMME 2018/19			
MetroWest Phase 2 contribution to project and development of highway measures around stations - Ashley Down Road		£50,000	Continued development of the MetroWest Phase 2 rail project which has been approved by Cabinet, and set out in an 'Initial Promotion Agreement' between South Gloucestershire and Bristol City Councils, signed March 2017, which states that BCC must contribute 22% of development costs which equates to £35k for 2018/19. The remaining £15k is required for highway design works to support the development of Ashley Down Station and staff time spent on the project.
Portway Park and Ride rail station - required as match funding for new stations fund money		£113,000	BCC has been successful in securing £1.672m from the DfT, a 75% contribution towards delivering the core rail elements of the Portway P&R Rail Station (wider associated facilities such as car park remodelling and cycle parking to be delivered separately). The terms of the bid require BCC to provide £558k match funding. £448k of this match has already been committed in previous years. The majority of this funding (£110k) will therefore make up the remainder of the match funding requirement for the project. The specific requirement for this £113k funding is to enable the next phase of development work with Network Rail (detailed design, contractor engagement) to commence within programme. Any delays to the programme will put the DfT funding and therefore the project at
	Subtotal	£358,000	
Sustainable Transport			
Casualty Reduction - Kingsweston and Cotham Brow schemes, designed and ready to go. Includes £40k for development of pipeline of new schemes for consideration and delivery in future years		£330,000	This budget targets accident cluster sites across the City in line with the City Council's statutory road safety duty. This includes £100k for Kingsweston Road/Shirehampton Road junction, £140k for Cotham Broad/Redland Road junction, £50k for reacting to significant safety issues that appear throughout the year, and £40k for analysis of accident data and preparation of possible schemes for 2019/20. All capital works will be delivered through the highways framework contract Lot 6.
Safer Routes to School - £60k for alterations to crossing points where required by loss of school crossing patrols. £25k for development of pipeline of new schemes for consideration and delivery in future years		£85,000	As a result of the recent review of the School Crossing Patrol service, undertakings were made to help mitigate the loss of service at those sites that were losing their service if at all possible. An assessment of these sites has been made by Highways and from this assessment a few sites have been selected to receive new engineering safety measures. The sites and proposals are: 1: Site on Nover's Lane outside Greenfield E-Act Academy proposed Zebra crossing. 2: Site on Bamfield at Perry Court Primary. Proposed speed table at location
Local Traffic Schemes - £25k for Stapleton Rd/Easton Way junction enforcement - link with Easton Way cycle route (line 60). £25k for development of pipeline of new schemes for consideration and delivery in future years		£50,000	£25k for Stapleton Rd/Easton Way junction redesign following successful challenge by local resident following enforcement of bus only link. £25k for development of pipeline of new schemes for consideration and delivery in 2019/20. This will support the new Area Committees to enable some feasibility of ideas put forward, so that a bid for CIL funding could then be made in future years (CIL can not be used for feasibility only).
Bus Improvements - Anchor Rd Bus Lanes - extension of scheme to include Hotwells Road elements, cycling improvements match funded by CAF2. Wells Road bus lane improvement scheme, road widening, signage, lining etc enables enforcement		£432,000	Budget to implement bus priority measures (and associated improvements) along Anchor Road/Hotwell Road & Wells Road, developed in partnership with local bus operators as part of the wider DfT Better Bus Area Fund 2 Programme. The aim is to improve punctuality and reliability of buses, and encourage modal shift from the private car to more sustainable modes of transport, thus contributing to wider objectives of reduced congestion, improved air quality and improved health and wellbeing outcomes for the city. The proposals for Anchor Road/Hotwell Road have been out to statutory consultation with Citizens and other stakeholders and works are being procured under Lot 7 of the Highways Framework, and are due to commence in October '18 with an estimated completion date of June '19. CPG2 approval has been granted to commence a tender process under Lot 7 of the Framework - ref CPG971-A.
Cycling & Walking Improvement - £60k for cycling bugbears from CAF2, £20k for		£80,000	Continued delivery of schemes identified through public engagement bug bear project, as part of CAF2
Punctuality Improvement - quick wins, links to Congestion Task Group suggestions		£40,000	Budget to achieve outcomes from the Mayor's Congestion Task Group. Schemes are in development, with the first scheme due to go out to public consultation in early summer with construction following in Aug/Sept.
Station Improvements - schemes to improve legibility of rail stations and links to other modes as per CTG suggestions		£75,000	Work with the rail industry on delivering small scale enhancement projects to improve legibility, accessibility, safety and security, interchange opportunities and better link stations to communities. This is a specific ask of the Congestion Task Group. Discussions ongoing with station leaseholders Great Western Railway to agree appropriate funding splits with the aim of stimulating rail industry investment at stations to complement BCC funding. Current discussions are centering
Taxi Stands		£50,000	Budget to achieve outcomes/requests emerging from the Taxi Forums and Taxi Conference, the latter of which took place in April '18 where the Mayor emphasised the importance of Taxis and the role they play in Bristol's Transport system. The budget will be principally focused on a) upgrading existing and providing new taxi ranks and b) developing a longer term strategy to manage kerbside space with competing demands placed upon it (including taxis) and this will form part of the emerging City Centre Framework and Bristol Transport Strategy.
Transport Information - recurring annual costs for Traveline development		£40,000	Costs associated with bus management and information systems- mainly Traveline management costs. WECA commitment.
Coach Parking/Departures - budget to build on outputs of coach parking study being carried out this year and develop schemes		£30,000	Budget to build on outputs of the coach parking study being carried out this year and to develop schemes. The coach parking study is expected to be complete within the next 2 to 3 weeks. The budget will also be used to develop a longer term strategy to manage kerbside space within the city centre; a Project Initiation Document is in the process of being finalised setting out the various work packages and resources required in order to take this forward.
Highbury Road - Metrobus mitigation scheme, raised table and associated highway improvements		£46,000	A scheme to mitigate the impact of the Metrobus scheme on the volume of traffic that could possibly divert through Highbury Road to avoid Parsons Street Gyrotory. The scheme has been consulted on locally and is set for statutory consultation/notice.
20mph		£90,000	Undertake review of 20mph, monitoring and maintenance c50k allocated to post review amendments to scheme - will not know location of any works until review is completed in Autumn.
	Subtotal	£1,348,000	
Flood			
Environmental Enhancement Features		£30,000	Budget to achieve Mayoral priority of making improvements to schemes on the capital programme by including green infrastructure. Budget therefore contributes to other schemes, rather than being a specific programme of works
Drainage Surveys		£40,000	Minor-sized schemes to reduce flood risks. Prioritised using methodology from the Local Flood Risk Management Strategy, i.e. 1. reduced risk to homes; 2. reduced risk to commercial properties; 3. reduced risk to essential infrastructure, including transport routes. 2018/19 works - Portway Canopy drainage (transport benefits) and West Town Lane PROW improvements (transport benefits).

PROPOSED TRANSPORT CAPITAL PROGRAMME 2018/19

Subtotal £70,000

£7,541,387

Monitoring **£100,000**

£7,641,387

G:\SLT Mgmt Suite\Growth and Regeneration\Z - G and R - Louise\John Roy\[Appendix A Transport Cap Programme Further Information v8.0.xlsx]further details

Appendix A - Chocolate Path Retaining Wall stabilisation works supplementary Information

Strategic Case

The Chocolate path is an accessible walking and cycling route which links areas of North Somerset including Long Ashton, to Bristol and the city centre. It provides for wide range of local journeys within the city centre linking the areas of Hotwells, Clifton, Southville, Bedminster, Ashton and Cabot with the centre of Bristol with upto 1500 pedestrians and 1500 cyclists using the path daily. It is also an important leisure route, forming part of the National Cycle Network Route 33. Bristol City Council, with its partners in the West of England, have aspirations to complete a high quality cycle route linking Portishead, Bristol, and Keynsham along the River Avon. Since the closure of the Chocolate Path, in December 2017, the route has led to a significant reduction in the number of people walking and cycling in this corridor, reducing overall cycling growth in the city.

The Council operates the Harbour Railway, from the M Shed through to the Create Centre during the summer months, which runs adjacent to the Chocolate Path. This is a popular visitor attraction, attracting some 45,000 plus visitors annually and generating a revenue stream for the Council of £60,000.

The Chocolate path retaining wall structure houses the Underfall Yard outfall sluices, near Avon Crescent. The failure of the Chocolate Path retaining wall could impact those sluices negatively, and hence the management of the Harbour water level, resulting in increased flood risk to the Harbour. A number of surface water outfalls are located through the Chocolate Path's retaining wall and failure of the wall would significantly impact on their operation. Bristol City Council does not have detailed records of these assets so is unable to predict exactly what the impact of their loss would be.

General Background

In December 2016, an 80m section of the Chocolate Path pedestrian and cycle path (National Cycle Route 33) was closed, as a result of settlement and failure of the path surfacing. A local diversion route was provided on the adjacent Bristol Harbour Railway, by laying a temporary tarmac path. In December 2017, further settlement of the Chocolate Path was observed, with movement of the Chocolate Path retaining wall noted. In addition, significant cracking was noted on the temporary diversion route so decision was taken to close the diversion route as well. This resulted in an 860m length of the Chocolate Path being closed between Vauxhall Bridge and Avon Crescent, with pedestrians and cyclists having to use Cumberland Road. The Harbourside Railway, which is used for public train rides during the summer months, is also currently closed in this area due to the ground movement describe above.

Proposed Project

Officers have been undertaking works to determine the causes of movement and identify potential options to stabilise and reinstate the failed section of the masonry retaining wall along the Chocolate Path. This would make the Chocolate Path wall safe, enable the reopening of the path, to both walkers and cyclists, and reopen the Harbour Railway service. Both the Chocolate Path and Cumberland Road are Adopted Highways and Bristol City Council, as the Local Highways Authority, has a statutory duty to maintain them.

Not addressing the cause of the current observed structural failures of the Chocolate Path retaining wall could significantly increase the risk of structural failure of the ground supporting Cumberland Road. Such a road closure would significantly affect local residents, businesses, visitors and public transport services in the locale e.g. Ashton Vale to Temple Meads Metrobus scheme. Should a collapse of the Chocolate Path retaining wall occur this would result in the need for emergency response and temporary repair works that would, in all likelihood, be significantly more expensive than any planned works.

Proposed Draft Programme of Investigation and Stabilisation Design Work

1. Non-intrusive Investigations
2. Intrusive Ground Investigations

End of May 2018
July 2018

3. Factual Investigation Report Submission	August 2018
4. Instrument monitoring for movement	Ongoing, until Works Commences
5. Condition Drainage Surveys	July 2018
6. Principal Inspections of Wall and Reporting	June 2018
7. Concept Design Report and Review with BCC	September 2018
8. Approval of proposed Design Option	October 2018
9. Detailed Design preparation	October 2018 to January 2019
10. BCC Design Approval	February 2019
11. Tender Process to Market	May 2019
12. Commence Construction on site	July 2019

Expenditure Forecast Proposal

The current expenditure forecast for the above Capital Works programme of works in 2018/19 is proposed as follows:

Programmed Activity 2018/19	Current Estimate
1. Structural Advise and geotechnical Advise from Framework Consultants	£40K
2. Site Testing and Ground investigations by Specialists	£150K
3. Principal Inspection Work	£25K
4. Drainage Testing and Investigations	£50K
5. Accommodation Works to facilitate Testing and surveys	£150K
6. Framework Consultant Detailed Design Preparation and Tendering	£164K
Total	£580K

Negative Risks that offer a threat to delivery of Transport Capital Programme and its Aims (Aim - Reduce Level of Risk)

Ref	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 £k	Risk Tolerance				Progr ess	Actions to be undertaken			Escalation			Portfolio Flag	Audit Trail				
									Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date		Resp. Officer	Escalated to: DRR/CRR	Escalated by:	Date	Date risk identified	Directorate Flag		Date Risk Closed	Closed by:	Amends / Updates Completed Date:	By:	
																													(Include dates as appropriate)
1	Insufficient budget allocated to individual schemes or projects	Budget preparation for many of schemes detailed on the Transport Capital Programme not known at the time of budget allocation	Schemes or projects cannot be delivered within budget causing additional pressure elsewhere on the Transport Capital Programme or reduction in number of schemes to be delivered	Open	Programme / Project Management and Reputation	Service Director Transport	Preliminary design work on schemes will be undertaken early in financial year and review taken on the overall Programme Budget within both Transport Service and in consultation with Cabinet Member for Transport and Connectivity	Stable	2	5	10	2	3	6		Transport Programme Team to keep under monthly review, through Highlight Reports, budgets and forecast scheme costs.	Transport Programme Team				Transport and Connectivity								
2	Statutory objections to Traffic Regulation Orders required to implement schemes or projects	Public objection to advertised Traffic Regulation Orders e.g. parking restrictions, banned turns, speed limits etc.	Need to formally resolve objections received to the advertised Traffic Regulation Orders	Open	Programme / Project Management and Reputation	Project Manager for Scheme	Informal consultation is undertaken on all schemes with a view to understanding all parties concerns and designs brought forward as a way to mitigate those concerns before formal statutory consultation. In the event that concerns cannot be accommodated and objections are received in response to formal consultation the TRO objection report will clearly state what actions are to be taken in response to all objections. This may include proceeding as advertised, amending the original design or even abandoning the proposals altogether setting aside objections. All TRO objections reports are signed off by the Service Director for Transport after consultation with the Cabinet Member for Transport and Connectivity in line with the city council's constitution and scheme of delegations	Stable	2	5	10	2	3	6		Traffic Orders Team support project managers in the planning and delivery of their schemes and projects. Providing appropriate advice as to how to mitigate concerns around Traffic Regulation Orders identified through informal and formal consultation.	Manager, Traffic Orders Team				Transport and Connectivity								
3	Insufficient design resources available to complete designs within programme be it at preliminary, final or contract stage	Not enough design resources available	Schemes cannot be completed and may put at risk budget allocations	Open	Programme / Project Management and Reputation	Project Manager for Scheme	Transport Service is proactively working with Bristol City Council Engineering Design Service to ensure adequate design resources are available to deliver full programme. In addition BCC is able to use Professional Services Framework with Jacob's Consultants for additional design services as required	Stable	2	3	6	1	3	3	Jan-18	Transport Programme Team to keep under monthly review, through Highlight Reports, budgets and forecast scheme costs.	Transport Programme Team				Transport and Connectivity								
4	Insufficient contractor resource available to be able to deliver schemes or projects within programme	Not enough contractor resource available	Schemes cannot be completed and may put at risk budget allocations	Open	Programme / Project Management and Reputation	Project Manager for Scheme	Monthly meetings take place with contractors on our existing Contractor Framework to agree programme and resolve issues. Contractor Framework has 15 different Lots covering range of specialities and expertise	Stable	2	5	10	2	3	6		Transport Programme Team to keep under monthly review, through Highlight Reports, budgets and forecast scheme costs.	Transport Programme Team												
5	Statutory Undertakers plant e.g. gas, telecommunications, electric cable and plant is discovered on schemes leading to cost increases and pressures	Unforeseen plant discovered on site or higher specification or type of plant which either needs to be protected or diverted	Increases costs for protection or diversion of existing plant	Open	Programme / Project Management and Reputation	Project Manager for Scheme	Early engagement with Statutory Undertakers and obtaining records/plans of plant	stable	3	5	15	2	3	6		Project Managers and designers need to engage early with Statutory Undertakers	Project Managers												
6	Unforeseen ground conditions leading to increased costs. This isn't necessarily limited to geotechnical conditions but could include removal of drug paraphernalia	Unknown and unforeseen ground conditions	Increased costs resulting from discovery of unforeseen or unknown ground conditions e.g. additional hard dig, removal of drug paraphernalia	Open	Programme / Project Management and Reputation	Project Manager for Scheme	Ensure adequate and appropriate site and ground investigations are carried out	Stable	3	5	15	2	3	6		Project Managers needs to ensure appropriate surveys are carried early in scheme	Project Managers												
7	Increased maintenance liability as consequence of new construction or not addressing existing maintenance liability as part of scheme or project	Failing to identify existing maintenance liabilities early enough in scheme and build in provision to cover new maintenance liabilities	Increased maintenance costs	Open	Service Provision	Transport Programme Team	Ensure as part of Transport Delivery Board review process that asset management and maintenanc are adequately addressed	Stable	3	5	15	1	3	3		Maintenance and asset management issues to be adequately addressed as part of evaluation and design process	Transport Programme Team												

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.

What is the proposal?	
Name of proposal	Transport Capital Programme budget allocation 2018/19
Please outline the proposal.	Cabinet report decision to allocate Department for Transport and Bristol City Council budget towards range of different Transport Projects and Programmes across the City in 18/19.
What savings will this proposal achieve?	None
Name of Lead Officer	Adam Crowther, Service Manager Strategic City Transport

Could your proposal impact citizens with protected characteristics? (This includes service users and the wider community)
Please outline where there may be significant opportunities or positive impacts, and for whom.
The projects and programmes, that are proposed to be funded, are focussed on improving the transport infrastructure, and hence movement of people, residents, visitors and businesses, throughout both the City and wider region. There may well be significant opportunities or positive impacts for citizens with protected characteristics. At this time the proposed works are being developed as such it is impossible to say with any degree of authority what these improvements maybe. As schemes are developed consultation will take place which will include with citizens with protected characteristics. Further Relevance Checks or Full EQIA maybe required to address the full impact when scope of projects are more fully understood.
Please outline where there may be significant negative impacts, and for whom.
The projects and programmes, that are proposed to be funded, are focussed on improving the transport infrastructure, and hence movement of people, residents, visitors and businesses, throughout both the City and wider region. However with all transport infrastructure schemes there may well be instances where different modes of transport are competing for limited highway space. This in turn may impact negatively on citizens with protected characteristics. At this time the proposed works are being developed as such it is impossible to say with any degree of authority what these improvements maybe. As schemes are developed consultation will take place which will include with citizens with protected characteristics. Further Relevance Checks or Full EQIA maybe required to address the full impact when scope of projects are more fully understood.

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.
The projects and programmes, that are proposed to be funded, are focussed on improving the transport infrastructure, and hence movement of people, residents, visitors and businesses, throughout both the City and wider region. There may well be significant opportunities or positive impacts for citizens with protected characteristics. At this time the proposed works are being developed as such it is impossible to say with any degree of authority what these improvements maybe. As schemes are developed consultation will take place which will include with citizens with protected characteristics. Further Relevance Checks or Full EQIA maybe required to address the full impact when scope of projects are more fully understood.
Please outline where there may be negative impacts, and for whom.

The projects and programmes, that are proposed to be funded, are focussed on improving the transport infrastructure, and hence movement of people, residents, visitors and businesses, throughout both the City and wider region. However with all transport infrastructure schemes there may well be instances where different modes of transport are competing for limited highway space. This in turn may impact negatively on citizens with protected characteristics. At this time the proposed works are being developed as such it is impossible to say with any degree of authority what these improvements maybe. As schemes are developed consultation will take place which will include with citizens with protected characteristics. Further Relevance Checks or Full EQIA maybe required to address the full impact when scope of projects are more fully understood.

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 - This proposal is for the allocation of the Transport Capital Programme Budget only.

Individual Equality Relevance Checks and, where required, Equality Impact Assessments will be carried out by scheme project managers for specific projects and proposals on a case by case basis.

Service Director sign-off and date:



Peter Mann 13/04/18

Equalities Officer sign-off and date:



Duncan Fleming 13/04/2018

Eco Impact Checklist

Title of report: Transport Capital Budget Allocation 2018/19				
Report author: John Roy				
Anticipated date of key decision: 3 rd July 2018				
<p>Summary of proposals: To seek approval for the budget allocation of the Transport Capital Programme for 2018/19 as detailed in Appendix A. This is not the full Transport Capital Programme, as excludes specific grant allocations which are subject of their own Cabinet reports e.g. Cycle Safety Fund, Office for Low Emission Vehicles (OLEV) etc.</p> <p>This report only focuses on funding from Department for Transport grants, which primarily but not exclusively, come via West of England Combined Authority (WECA) as follows; Highways Capital Maintenance; Integrated Block; Incentive Funding Pothole Funding c/f 17/18; Winter Pothole Funding 18/19;</p>				
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	Enhancements to public transport and cycling facilities will contribute to a reduction in emissions through increased sustainable travel choices. New road surfaces will promote smoother and more efficient journeys and reduce the need for future maintenance and traffic management measures	
		-ive	Construction and engineering requires combustion of fossil fuels.	Use sustainable procurement practices for resources needed for projects undertaken.
Bristol's resilience to the effects of climate change?	Yes	+ive	Drainage repairs will help to alleviate flood risk	
		-ive	Specific schemes may have a negative	

			impact. For instance, increasing impermeable surfaces.	
Consumption of non-renewable resources?		+ive	Enhancements to public transport and cycling facilities will contribute to a reduction in emissions through increased sustainable travel choices.	Ensure contractors use sustainably sourced materials where possible. Consider contractor travel, look to procure local contractors/ materials where possible.
		-ive	Construction of new infrastructure consumes materials and fuels.	
Production, recycling or disposal of waste	Yes	-ive	Waste will be produced through infrastructure & engineering works.	Ensure the waste hierarchy is applied throughout any projects undertaken with this budget. Ensure waste is disposed of correctly and legally. Contractors will need to supply a waste management plan for large projects.
The appearance of the city?	Yes	-ive/+ive	New infrastructure will alter the appearance of the city.	To be considered as part of the planning process with appropriate mitigation measures.
		+ive	Repaired surfaces will improve appearance of the city.	
Pollution to land, water, or air?	Yes	+ive	Enhancements to public transport and cycling facilities will contribute to a reduction in emissions through increased sustainable travel choices.	Manage through contractor management.
		-ive	It's likely that engineering & construction works will create	

			noise and dust. There is also the possibility of accidental releases of fuels and chemicals to land or water.	
Wildlife and habitats?	Yes		Development of infrastructure may harm wildlife & habitats.	Where projects may lead to development on existing green land ensure the council's ecology officer is involved to give advice about ecology in the area.

Consulted with:

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

The significant impacts of this proposal are in construction and maintenance works and the associated carbon emissions and material use. There are positive impacts in that improved infrastructure will encourage sustainable travel choices.

The proposals include the following measures to mitigate the impacts contractor and waste management plans will be created where needed. The team could look at local procurement for contractors and materials.

The net effects of the proposals are mixed. If managed correctly the negative impacts can be minimised.

Checklist completed by:

Name:	
Dept.:	
Extension:	
Date:	19/04/2018
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	MetroWest Phase 1 – Initial Promotion Agreement		
Ward(s)	Citywide		
Author: Andrew Davies	Job title: Principal Transport Planner		
Cabinet lead: Cllr Mhairi Threlfall	Executive Director lead: Colin Molton		
Proposal origin: <i>City Partner</i>			
Decision maker: Cabinet Member			
Decision forum: <i>Cabinet</i>			
Timescales: Approvals relating to the progressing of the MetroWest Phase 1 project will be considered by the West of England (WoE) Joint Committee on 27 July 2018, with the aim of submitting the scheme’s Development Consent Order to the Secretary of State on 31 July 2018.			
Purpose of Report: To seek approval to delegate authority to the Director of Transport, in consultation with the Cabinet Member for Transport, and; Legal and Democratic Services, to sign and seal an Initial Promotion Agreement (Version 3) in conjunction with the four West of England (WoE) councils and the West of England Combined Authority (WECA), for the continued development of the MetroWest Phase 1 rail project. The Initial Promotion Agreement (IPA3) will enable the required Development Consent Order (DCO) for the scheme to be submitted to programme, subject to a funding strategy being identified. The IPA3 does not place any obligation or liability on any of the authorities to construct the project. West of England partner authorities (Bath & North East Somerset, North Somerset and South Gloucestershire councils) and the West of England Combined Authority are also seeking authority to enter into the agreement through their own approval processes.			
Evidence Base: MetroWest Phase 1 will deliver half hourly services on the Severn Beach Line and local stations to Bath Spa in 2020 (Stage A) and an hourly service on a reopened line to Portishead in 2021 (Stage B). In March 2017 a significant cost increase to the scheme, due to engineering challenges, was reported to the WoE Joint Transport Board. The Board approved a staged approach to delivering the scheme with a reduced frequency initial service on the Portishead line (Stages A and B). The revised scheme cost for Stages A and B is £116m, a significant increase from the previous estimate of £58m which had already been identified. The previously identified £58m scheme budget is made up of £53.4m from WoE Local Growth Fund and contributions from the WoE councils. In December 2017 the WoE Joint Committee endorsed a £46.9m bid to the Department for Transport’s Large Local Major Project fund to cover the identified funding gap along with match funding of £6m from WECA and £6m from North Somerset Council. Unfortunately, the application to the Large Local Major Project fund was unsuccessful. However, the Department for Transport noted in their decision letter of 17 May that they continue to have detailed discussions with the MetroWest Phase 1 Project Team and other stakeholders in the West of England about potential improvements to rail services, including the MetroWest programme, and how they might be funded. Discussions with the DfT are ongoing with the aim of identifying an alternative funding strategy to meet the current shortfall. In the meantime a DCO is required to be submitted to the Secretary of State to seek the necessary planning consents for the scheme. Before the DCO can be submitted, it is necessary to sign a new joint agreement (IPA3) to update the current IPA2 (signed February 2015) with the new project funding and delivery approach. IPA2 covers the scheme’s development up to September 2018. North Somerset Council has committed to take on all liability for the additional £58m scheme costs, over and above the original £58m scheme cost estimate. Signing the IPA3 will enable the project to continue to be developed without taking on additional liabilities.			

Bristol's Cabinet endorsed the development of the MetroWest programme (Phases 1 and 2) in January 2013. Since that time the cost profile and delivery model have changed significantly and WECA has been constituted and become a partner in this project. Taking this into account and the time that has elapsed it is considered that a new Cabinet approval should be sought.

Although a clear funding strategy has not yet been identified, delegated authority to enter into a new Initial Promotion Agreement is being sought now to avoid programme delay once a funding strategy has been identified. Delays to the programme would result in further cost increases, put the already allocated Local Growth Fund money at risk due to spending deadlines, and add further risk to the project. Potential options for further funding for the project include the Department for Transport's 'Transforming Cities Fund'.

Phase 1A of the project includes improvements to the Severn Beach and Bath corridors which Bristol City Council is keen to see delivered as soon as possible to enable an enhanced service on these lines which also supports the delivery of the Portway Park & Ride new station project. Phase 1A of the project forms a package with Phase 1B (the Portishead Line) which generates higher levels of revenue than the Severn Beach and Bath enhancements. Significant ongoing revenue support is likely to be required if elements of Phase 1A were to be delivered as a stand-alone project. If a clear funding strategy for MetroWest Phase 1 cannot be identified before the 31 July programme deadline for submitting the Development Consent Order, it is recommended that options for the earlier delivery of Phase 1A be investigated.

Recommendations:

That Cabinet

1. Delegate authority to the Director of Transport, in consultation with the Cabinet Member for Transport, and; Legal and Democratic Services, to finalise, sign and seal Initial Promotion Agreement (version 3) in conjunction with the four other authorities.
2. Note that The Initial Promotion Agreement (version 3) does not place any obligation or liability on any of the authorities to construct the project and does not place additional financial liability, above that already committed, on Bristol City Council.

Corporate Strategy alignment:

The MetroWest Phase 1 project will deliver a new rail link between Bristol and Portishead, serving intermediate stations. It will also increase rail service frequencies between Severn Beach and Bath. This will improve rail connectivity for Bristol's residents. This directly aligns with the key Corporate Strategy theme of 'Well Connected'; improving links between people and jobs. The scheme will also increase passenger numbers using public transport and, as part of a wider transport strategy, encourage active travel and promote wellbeing.

City Benefits:

The MetroWest Project will enhance the local rail network which will improve cross-city connectivity and also widen access to the national rail network. The MetroWest programme form part of the Joint Transport Strategy to support the WoE Joint Spatial Plan which sets out how 105,000 new homes and 82,500 new jobs will be delivered up to 2036. Widening access to public transport encourages wider benefits for the city in terms of enabling healthier travel choices, encouraging sustainable travel and connecting communities. New stations and services provided by MetroWest will be designed to meet all statutory accessibility standards.

Consultation Details:

Consultation has been integral to the development of the project and specifically the DCO process. Informal DCO Stage 1 consultation was undertaken in 2015 which highlighted support for the project. Formal DCO Stage 2 consultation was undertaken between October and December 2017 which included staffed exhibitions. Stage gate approvals by the WoE Joint Transport Board and Joint Committee have required Member engagement at key stages of the project.

Revenue Cost	0	Source of Revenue Funding	n/a
Capital Cost	c£116m	Source of Capital Funding	WoE local authorities contribution, LGF, WECA and Potentially DfT
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice: The report seeks approval to the signing of the Initial Promotion Agreement 3 with the other regional local authority partners which sets out the governance arrangements for further development of the MetroWest projects, including seeking approval to submit necessary planning consents to implement MetroWest phase1.

Up to March 2018, £11.8m had been spent on the Phase 1 project and the estimated spend in 2018/19 is £1.44m, a total of £13.24m. If the project does not progress to construction, BCC would be liable for 30% of these abortive costs, estimated at £3.972m. Meanwhile £1.4m had already been spent prior to 16/17 (capital expenditure), it would result in a revenue reversion should the write-offs incur.

North Somerset Council is the lead authority of the project and the project includes two sub-schemes namely Portishead Line and Severn Beach line. Since the initial cabinet approval of the project cost at £58m in 2013, the total cost estimate has now escalated to £116m. The original £58m was made up of £53.4m from WoE Local Growth Fund (LGF) and £4.4m contributions from the WoE councils. To address the remaining £58m funding gap, WoE Joint Committee endorsed a £46m bid to the DfT's Large Local Major Project fund with match funding of £6m from WECA and £6m from North Somerset Council. However this bid was not successful. North Somerset is currently engaging further discussions with DfT and WECA regarding the programme and other possible funding streams.

The political landscape has changed significantly since 2013; the disappointing result of the DfT bid is not however preventing the delivery of the project whilst other sources of funding are potentially available. The IPA 3 highlights that the authorities' intention is to press on and secure the Development Consent Order and complete Grip 5 ("Third Initial Stage") on the basis of no additional liability for BCC, BANES and SGC.

According to the business plan the majority of the capital expenditure relates to the Portishead line, meanwhile Severn Beach line carries significant revenue deficits for ongoing operations and the idea is to combine the 2 sub schemes in order to allow for cross subsidies between the two railway lines for sustainable operation. Please see table below for detail:

MetroWest Phase 1	Portishead Line	Severn Beach line	Total
	£m	£m	£m
Capital build cost	102.0	7.2	109.2
First 3 year total revenue surplus / (deficit)	0.8	(5.1)	(4.3)
Revenue surplus / (deficit) p.a. year 4 onwards	1.7	(0.8)	0.9

DfT's current policies only allow for a 3-year operational subsidy to cover the early years combined operational deficits. The challenge for the programme is therefore the overall long terms operational sustainability from year 4 onwards and to ensure no operational cost pressures would arise, in particular for the Severn Beach line in Bristol which is estimated to have an ongoing operating deficit.

Finance Business Partner: Tian Ze Hao

Date: 31/05/2018

2. Legal Advice: The completion of a third IPA will affirm Bristol City Council's continuing commitment to the Metro West Phase 1 project but will not involve the Council in any additional financial liability. The completed IPA will enable the project to submit the DCO to apply for all necessary consents to implement the scheme.

Legal Team Leader: Joanne Mansfield, 4th May 2018.

3. Implications on ICT: There are no identifiable direct IT implications in this initiative.

ICT Team Leader: Ian Gale, Head of IT, 4 May 2018.

4. HR Advice: No direct HR implications evident.

HR Partner: James Brereton (People & Culture Manager), 9th May 2018

EDM Sign-off	Peter Mann, Zoe Willcox	9 May 2018
Cabinet Member sign-off	Cllr Threlfall	14 May 2018
CLB Sign-off	Colin Molton	1 June 2018
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4 June 2018

Appendix A – Draft Initial Promotion Agreement (version 3)

YES

Appendix B – Details of consultation carried out - internal and external Details on formal consultation: www.metrowestphase1.org/the_consultation_documents	NO
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	YES
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers <i>Appendix I-1:</i> Scheme Equality Impact Assessment (Portishead Branch Line Preliminary Environmental Information Report), available at: https://metrowestphase1.files.wordpress.com/2017/09/peir-appendix-14-1-egia_final.pdf <i>Appendix I-2:</i> Scheme Approach to Environmental Statement (Portishead Branch Line Preliminary Environmental Information Report), available at: https://metrowestphase1.files.wordpress.com/2017/09/peir-chapter-5-approach-to-the-environmental-statement_final.pdf <i>Appendix I-3:</i> Portishead Branch Line Preliminary Environmental Information Report Non-Technical Summary, available at: https://metrowestphase1.files.wordpress.com/2017/10/01-peir-non-technical-summary_final_.pdf	
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO

Appendix A
Draft Initial Promotion Agreement (version 3)

DATED

THIRD

INITIAL PROMOTION AGREEMENT

**Relating to MetroWest
(Phase 1)**

between

NORTH SOMERSET DISTRICT COUNCIL (1)

and

SOUTH GLOUCESTERSHIRE DISTRICT COUNCIL (2)

and

BRISTOL CITY COUNCIL (3)

and

BATH & NORTH-EAST SOMERSET COUNCIL (4)

WEST OF ENGLAND COMBINED AUTHORITY (5)

N P BRAIN

HEAD OF LEGAL AND DEMOCRATIC SERVICES

NORTH SOMERSET DISTRICT COUNCIL

TOWN HALL

WESTON-SUPER-MARE

BS23 1UJ

(ACM/LS041589)

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ANNEX

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THIS AGREEMENT is dated

AUTHORITIES

The Authorities to this Initial Promotion Agreement (“IPA”) are:

- (1) **NORTH SOMERSET DISTRICT COUNCIL** of Town Hall, Weston-super-Mare, Somerset, BS23 1UJ (“NSDC”).
- (2) **SOUTH GLOUCESTERSHIRE DISTRICT COUNCIL** of Council Offices, Badminton Road, Nibley, South Gloucestershire (“SGDC”).
- (3) **BRISTOL CITY COUNCIL** of City Hall, College Green, Bristol, BS1 5TR (“BCC”).
- (4) **BATH & NORTH-EAST SOMERSET COUNCIL** of The Guildhall, High Street, Bath, BA1 5AW (“BANES”); and
- (5) **WEST OF ENGLAND COMBINED AUTHORITY** of 3 Rivergate, Temple Quay, Bristol BS1 6ER (“WECA”).

Together referred to as “The Authorities”.

1. BACKGROUND

- 1.1 NSDC, SGDC, BCC and BANES entered into an Initial Promotion Agreement dated 13 March 2014 (IPA 1) and a further Initial Promotion Agreement dated 13 February 2015 (IPA 2). Both IPA 1 and IPA 2 were entered into pursuant to a Joint Working Agreement (“the JWA”) dated 12 March 2013 for the creation of a Local Transport Body (“LTB”) to oversee the delivery of a programme of major transport schemes in the region.
- 1.2 Subsequently SGDC, BCC and BANES agreed to form WECA in accordance with the West of England Combined Authority Order 2017 inter alia to oversee certain functions relating to transport matters in the areas of South Gloucestershire, Bristol and Bath and North East Somerset. As a result the governance arrangements to oversee the delivery of major transport schemes in the region have changed. The arrangements agreed in the JWA no longer apply and are substituted by the MetroWest Governance arrangements dated March 2018 annexed to this Agreement at Annex A.
- 1.3 The Authorities are jointly promoting a programme of rail enhancement projects, known as the MetroWest Programme. The MetroWest Programme

aims to uplift the local rail network in terms of service provision and access to the network, through the delivery of specific projects. The MetroWest Programme includes:

- MetroWest Phase 1 – involving the re-opening of the Portishead rail line and stations and re-introduction of passenger train services, together with other infrastructure enhancements to provide enhanced half-hourly passenger train services for the Severn Beach line and the Bath line.
- MetroWest Phase 2 – involving re-opening the Henbury rail line and stations and re-introduction of passenger train services, together with other infrastructure enhancements to provide enhanced passenger train services for Yate line.

1.4 In accordance with the stated aims set out in the Outline Business Case annexed to this Agreement at Annex B (by reference to the web site) and the governance arrangements set out in Annex A the Authorities have agreed to work together on the project (“the **Project**”) as outlined in this paragraph and more particularly detailed in the Outline Business Case and to make further arrangements for the promotion and implementation of the Project by applying for and obtaining the necessary Orders and by procuring completion of GRIP 5 detailed design and associated technical work to take the Project to the completion of Full Business Case .

- (a) In summary the MetroWest Phase 1 Project is a joint cross boundary project to deliver the re-opening of the Portishead rail line and re-commence passenger train services, together with other infrastructure enhancements to provide enhanced half-hourly passenger train services for the Severn Beach line and the Bath line.
- (b) The Project will extend the UK passenger rail network by 9 miles and is to be the first major project of a long term programme under the MetroWest name, to deliver enhancements to local passenger train network across the West of England.

- (c) Upon the completion of construction and commencement of passenger train services, the land forming the track alignment between Portishead and Pill currently owned by North Somerset Council will be sold to Network Rail on a cost basis. Furthermore all assets delivered by the Project excluding new car parks and footpath / highway links will be transferred to Network Rail and will be accepted into the national rail network. Network Rail is a state owned not-for-profit company which owns and operates the UK rail network. Network Rail will be responsible for all operational liabilities for the maintenance and repair of all infrastructure delivered by the Project, from commencement of passenger train services.
- (d) The passenger train services will be procured by the Authorities in association with the Department for Transport (DfT). Under the current DfT rules the Authorities will need to meet the revenue liability (subsidy) for the first three years of the operation of passenger train services, after which the liability transfer to the DfT in perpetuity subject to meeting value for money tests. All aspects of the Project value for money will be laid out in the Project business case and this will be scrutinised by the Joint Committee prior to final sign off of funding.

1.5 The purpose of this Third Initial Promotion Agreement is to set out the working arrangements between the Authorities for the Third Stage of the Project including applying for/obtaining the necessary Order(s) and completion of the GRIP 5 detailed design and associated technical work to take the Project up to the completion and submission of the Full Business Case (“Third Initial Stage”).

1.6 The Authorities wish to record the basis on which they will collaborate with each other on the Third Initial Stage. This Agreement sets out:

- (a) the key objectives of the Third Initial Stage and the Project as a whole;

- (b) the principles of collaboration;
- (c) the governance structures the Authorities will put in place; and
- (d) the respective roles and responsibilities the Authorities will have during the Third Initial Stage.

1.7 On or before the completion of the Third Initial Stage the Authorities intend to replace this Agreement with a Joint Promotion Agreement.

2. DEFINITIONS

2.1 In this Agreement the following words and phrases have the following meanings:

Word or Phrase	Meaning
“Accountable Body”	WECA or such other of the Authorities as appointed from time to time.
“Agreement”	This agreement
“Commencement Date”	The date of this Agreement
“Constitution”	The Constitution of the Joint Committee
“DfT”	Department for Transport
“Expiry Date”	90 days from and including the date of endorsement of the Full Business Case by the Joint Committee unless earlier terminated by the Parties in accordance with Clause 3
The Joint Committee	Means the West of England Joint Committee established under Section 101(5) of the Local Government Act 1972, as applied by Section 20 of the Local Government Act 2000 and Regulation 11 of the Local Authorities (Arrangements for the Discharge of Functions) (England) Regulations 2012 by the Executives of BANES, BCC, SGDC, NSDC and the Mayor of the WECA. .
“The Third Initial Stage”	The Third Initial Stage of the Project from inception

	to the production of the full business case
“Laws”	Means:- <ul style="list-style-type: none"> • Any applicable statute or proclamation or any delegated or sub-ordinate law; • Any enforceable community right within the meaning of Section 2(1) of the European Communities Act 1972; and • Any applicable judgment of a relevant court of law which is a binding precedent in England and Wales
LEP	The West of England Local Enterprise Partnership
“Lead Authority”	North Somerset District Council or such other of the Authorities as appointed from time to time in accordance with Clause 9
“MetroWest Programme”	MetroWest Phase 1, MetroWest Phase 2 and a range of new station/station re-opening projects.
MetroWest Governance Arrangements	The governance arrangements for the delivery of the MetroWest Programme adopted by WECA and NSDC dated March 2018 annexed to this Agreement at Annex A
“Order”	An order or order(s) necessary to implement the Project including Transport and Works Act Order(s), Development Consent Order(s), Compulsory Purchase Order(s) as appropriate
"Outline Business Case"	The MetroWest Phase 1 Outline Business Case dated December 2017 Case annexed to this Agreement at Annex B
“Project”	The project for the acquisition of land for and the procurement of the construction of the railway and associated works as described in the Outline Business Case.

"Programme Assurance Board"	The Programme Assurance Board established by the Joint Committee to oversee the programme budget for rail schemes across the West of England
"Programme Section 151 Officer"	shall mean for the purposes of this Agreement the officer with responsibility for the financial affairs of the MetroWest Programme from time to time appointed by the RPB in accordance with clause 8.4 and Section 151 of the Local Government Act 1972 as it may be amended from time to time.
"Project Section 151 Officer"	shall mean for the purposes of this Agreement the officer with responsibility for the Project's financial affairs from time to time appointed by the Lead Authority and Section 151 of the Local Government Act 1972 as it may be amended from time to time.
"Project Team"	The project team established for this Project in accordance with clause 11
"Project Manager"	Means NSDC's MetroWest Phase 1 Project Manager (currently James Willcock) or such other senior officer of the Lead Authority from time to time engaged in the management of the Project as the Authorities shall agree to appoint from time to time to the role
"RPB"	The Rail Programme Board established for this and other projects in accordance with clause Error! Reference source not found.
"The Programme SRO"	Means Head of Highways & Transport (currently Colin Medus) or such other senior officer of the Lead Authority from time to time engaged in the management of the West of England rail schemes as the Programme Assurance Board shall agree to appoint from time to time to the role.
"The Project SRO"	Means Head of Highways & Transport (currently

	Colin Medus) or such other senior officer of the Lead Authority from time to time engaged in the management of the Project as the RPB shall agree to appoint from time to time to the role.
“Standard Proportions”	The proportions, contributions and liability splits agreed and set out in Clause 14.4
“The Train Services”	The provision of a functioning passenger train service along the MetroWest Programme Phase 1 routes.

- 2.2 Anything defined in the Constitution shall have the same meaning in this Agreement unless the context clearly indicates otherwise.
- 2.3 Reference to any statute or statutory provision includes a reference to that statute or statutory provision as from time to time amended, extended or re-enacted.
- 2.4 Words importing the singular include the plural, words importing any gender include every gender, the words importing persons include bodies corporate and unincorporated; and (in each case) vice versa.
- 2.5 Reference to Clauses and Schedules are references to clauses and schedules of this Agreement and any reference to a sub provision is unless otherwise stated a reference to a sub provision of the provision in which the reference appears.
- 2.6 The Clause and paragraph headings and titles appearing in this Agreement are for reference only and shall not affect its construction or interpretation.
- 2.7 No Party shall be required to do anything in the promotion or implementation of the Project that breaches its statutory duties or unlawfully fetters its discretion.
- 2.8 References to the Authorities save where otherwise stated (as for example in respect of Planning provisions) shall mean the Authorities in their capacity as

joint promoters of the Project and shall not refer to their other statutory functions, responsibilities or duties in any other capacity.

3. COMMENCEMENT AND DURATION

3.1 This Agreement shall come into force on the Commencement Date and shall continue in force until:

- (a) It is terminated in accordance with the termination provisions; or
- (b) The Authorities enter into an agreement that replaces this Agreement, or
- (c) The Authorities agree and confirm in writing that the Project is abandoned or terminated; or
- (d) The Expiry Date.

4. SCHEME OBJECTIVES FOR THE THIRD INITIAL STAGE OF THE PROJECT

4.1 The Authorities shall undertake the Third Initial Stage of the Project to achieve the scheme objectives up to the end of the Third Initial Stage as set out in paragraph 1.3.4 of the Outline Business Case (**Scheme Objectives**).

5. PRINCIPLES OF COLLABORATION

The Authorities agree to adopt the following principles when carrying out the Third Initial Stage (**Principles**):

- (a) collaborate and co-operate. Establish and adhere to the governance structure set out in this Agreement to ensure that activities are delivered and actions taken as required;
- (b) be accountable. Take on, manage and account to each other for performance of the respective roles and responsibilities set out in this Agreement;

- (c) be open. Communicate openly about major concerns, issues or opportunities relating to the Project and commit to sharing data and knowledge relevant to the Project where appropriate;
- (d) learn, develop and seek to achieve full potential. Share information, experience, materials and skills to learn from each other and develop effective working practices, work collaboratively to identify solutions, eliminate duplication of effort, mitigate risk and reduce cost;
- (e) adopt a positive outlook. Behave in a positive, proactive manner;
- (f) adhere to statutory requirements and best practice. Comply with applicable laws and standards including EU procurement rules, data protection and freedom of information legislation;
- (g) act in a timely manner. Recognise the time-critical nature of the Project and respond accordingly to requests for support;
- (h) manage stakeholders effectively;
- (i) deploy appropriate resources. Ensure sufficient and appropriately qualified resources are available and authorised to fulfil the responsibilities set out in this Agreement. In particular the Authorities agree to make the contributions in the Standard Proportions;
- (j) work together to secure external funding from the DfT, the LEP and any other available source in respect of the Project; and
- (k) act in good faith to support achievement of the Scheme Objectives and compliance with these Principles.

6. PROJECT GOVERNANCE

6.1 Overview

The governance structure defined below provides a structure for the development and delivery of the Third Initial Stage of the Project.

6.2 Guiding principles

The following guiding principles are agreed. The Third Initial Stage of the Project's governance will:

- (a) provide strategic oversight and direction;
- (b) be based on clearly defined roles and responsibilities at organisation, group and, where necessary, individual level;
- (c) align decision-making authority with the criticality of the decisions required;
- (d) be aligned with Project scope and each Project stage (and may therefore require changes over time);
- (e) leverage existing organisational, group and user interfaces;
- (f) provide coherent, timely and efficient decision-making; and
- (g) correspond with the key features of the Project governance arrangements set out in this Agreement.

7. THE JOINT COMMITTEE

7.1 The Joint Committee provides overall strategic oversight and direction to the Project. It shall decide on the allocation of all Local Growth Fund funding and devolved DfT capital funding.

7.2 The Joint Committee shall also review and approve the revenue liabilities of transport projects across the Authorities' sub-region, and in relation to this Project shall review and approve the revenue liabilities of the Train Service.

7.3 The Joint Committee shall be managed in accordance with the terms of reference set out in the in the Constitution.

8. RPB AND PROGRAMME ASSURANCE BOARD

8.1 The Joint Committee has appointed a RPB and a Programme Assurance Board (PAB)

- 8.2 The PAB has representatives from BCC, BANES, SGDC, NSDC and the LEP and provides high-level challenge and independent assessment to the Joint Committee. It receives high-level reports on all rail schemes across the West of England. The PAB has a particular emphasis of overseeing the programme budget. The PAB is responsible for:
- (a) Ensuring programme priorities are met and cross-scheme actions are delivered
 - (b) Providing critical review, monitoring of progress and performance, and oversight of joint actions
 - (c) Overseeing the integrated programme plan and Benefits Realisation Plan
 - (d) Ensuring strategic programme-level risks are effectively managed
 - (e) Overseeing strategic relationships with LEP and other key stakeholders
 - (f) Reporting high-level progress to the LEP
- 8.3 The Programme SRO is responsible for ensuring that the Rail Programme's objectives are met.
- 8.4 The RPB consists of board members and representatives from each of the Authorities. The overall rail programme is made up of a number of projects including the Project. The RPB directs, steers and oversees the direction of each project and authorises project plans to be delivered by the project managers and authorise strategic decisions, or seeks authority for key strategic decisions from the RPB, PAB, the Joint Committee and the Programme Section 151 Officer augmented by specialists from related areas. Key decision making will be made by the RPB members only each of whom has voting rights. The RPB shall have responsibility for:
- (a) Appointments such as the appointment of the Project SRO, the Lead Authority, and the Programme Section 151 Officer,
 - (b) the creation and execution of the project plan and deliverables, and therefore it can draw technical, commercial, legal and communications resources as appropriate into the RPB .

8.5 The core RPB comprises:

Job Title and Current Officer Name	Organisation	Title
Director of Development & Environment (currently vacant)	NSDC	Board Member
Service Director: Transport (currently Peter Mann)	BCC	Board Member
Group Manager Highways & Traffic (currently Kelvin Packer)	BANES	Board Member
– Interim Head of Transport (currently Emma Blackham)	SGDC	Board Member
Head of Highways & Transport (currently Colin Medus) –	NSDC	Project SRO (Metro Phase 1) & Programme SRO
Strategic Public Transport Manager (currently Janet Kings)	SGDC	SRO (Metro Phase 2)
– Chairman of Severnside Rail Partnership (Keith Walton)	Severnside Community Rail Partnership	
– Principal Programme Sponsor (West) (currently Michelle Scogings)	Network Rail	
Head of Finance (currently Dave Perry)	SGDC	Programme Section 151 Officer
Interim Head of Transport (currently James White) –	WECA	Programme Manager
Director (currently John Czyrko) -	Great Western Railways	

9. LEAD AUTHORITY

9.1 The Authorities (acting jointly) appoint, with effect from the Commencement Date, NSDC to be the Lead Authority for the carrying out of the Project which shall be carried out for and on behalf of the Authorities and NSDC agrees to

act in that capacity subject to and in accordance with the terms and conditions of this Agreement.

9.2 The scope of the Lead Authority is on the basis that it is only authorised to act as lead authority so far as it is clearly authorised to do so and the Lead Authority shall act under the direction of the RPB .

9.3 Where the Lead Authority incurs any costs or liability in discharging its duties under this **Clause 9**, the Lead Authority shall from time to time inform the RPB promptly of that cost or liability and such cost or liability shall be apportioned between the Authorities pursuant to the **Standard Proportions**.

10. ACCOUNTABLE BODY

10.1 WECA has been appointed by BCC, BANES and SGDC and has agreed with the DfT to act as the Accountable Body for the purposes of devolved major scheme funding and it will provide the Programme Section 151 Officer.

11. PROJECT TEAM

11.1 The Project Team will provide day to day management of the Third Initial Stage of the Project and work streams. It will provide assurance to the RPB that the Project is being delivered within the boundaries set by the RPB.

11.2 The Project Team consists of the Project SRO, representatives from each of the Authorities, the Project Manager, the Programme Section 151 Officer, the Project Section 151 Officer and representatives from specialist external consultants as required. The Project Team shall have responsibility for the creation and execution of the project plan and deliverables, and therefore it can draw technical, commercial, legal and communications resources as appropriate into the Project Team. The Authorities may recharge the cost of employee time to the Project where the employee has been tasked with delivering specific outputs for the Project, subject to the prior written approval of the Project Manager or Project SRO. The Authorities will provide sufficient staff and resources at their own cost to enable the Project Team and

any working Authorities and groups established under them to function adequately and effectively. The Authorities may not recharge the cost of employee time to attend meetings or to fulfil in-house (i.e. for their employer Authority) functions, for example writing Council committee reports. The costs of any external consultants or significant internal staff costs shall only be chargeable to the Project if previously approved in writing by the Project Manager or Project SRO in accordance with **clause 11.7**.

11.3 The Project Team shall meet not less than bi-monthly and the minutes and actions will be recorded for each Project Team meeting. Any additional reporting requirement shall be at the discretion of the RPB.

11.4 For the avoidance of doubt, among the matters for which the Project Team shall be responsible are the following:-

- (a) What authority it reserves to itself and what authority it delegates to the Project Team or the Project SRO and the Project Section 151 Officer;
- (b) The appointment and instruction of consultants and other advisors and delegation of authority in respect of this;
- (c) The management of its own roles and the roles of those that report to it;
- (d) Approval of agreements with third parties in respect of the Project carried out by the Project Team in accordance with **clause 15**; and
- (e) Day to day financial and risk management of the Project.

11.5 The Project Team shall not have authority to do or agree anything or go beyond the budgeted expenditure as approved by the Programme Section 151 Officer in writing in accordance with this clause and:

- (a) The Project Section 151 Officer in consultation with the Project Manager shall prepare detailed annual budget which shall be approved with the RPB (“the Approved Budget”);

- (b) The Project Section 151 Officer shall with the approval of the RPB submit all financial claims to the WoE LEP and any other funders on behalf of both Authorities;
- 11.6 All commitments, orders and payments under the Approved Budget shall be submitted to the SRO for approval. Agreement to any change that would be outside the scope of the Project or the budgeted expenditure for the Project as confirmed by the Programme Section 151 Officer shall be referred to the Joint Committee.
- 11.7 Every 3 months the Project Section 151 Officer shall prepare and submit to the Authorities an invoice of each of the relevant Authority's Standard Proportion of the costs incurred for the Project, including a detailed breakdown of such costs. If the Project Team agrees to allow the recharge of internal staff costs to the Project (in accordance with **clause 11.2**) the recharge rate inclusive of any overheads must be agreed in advance by the RPB.

Powers Outside the Scope of the Project Team

- 11.8 Neither the RPB nor the Project Team shall have power to commit an Authority to expenditure or any other commitment that is outside the scope of the Project, the Joint Transport Strategy or beyond its own budgeted expenditure on the Project without the agreement of that Authority.
- 11.9 The Project Team will endeavour to make decisions by consensus. Where this is not possible if the representatives of the Authorities are in agreement with each other they may decide matters on their own.
- 11.10 The Project Team shall ultimately report to the Joint Committee (in respect of devolved DfT capital funding and Local Growth Fund funding) and in the event that the representatives of the Project Team do not agree with each other they will refer it to RPB for decision and if the Authorities are not satisfied with such decision any Authority may refer the matter to the Joint Committee and if the Authorities are still not satisfied with such decision any Authority may refer the matter for Dispute Resolution in accordance with **clause 19**.

11.11 Unless or until the Project Team decides otherwise, the Project shall use the Managing Successful Program (MSP) system of project management.

12. ROLES AND RESPONSIBILITIES

12.1 The Authorities shall undertake the following roles and responsibilities to deliver the Project:

(a) Each Authority will nominate a Lead Officer with senior management responsibilities for transport functions in their area. The Lead Officer shall ensure that his / her Council provides the support necessary to secure the effective achievement of the Project. In this context, “support” shall include the involvement and time of capable officers, the provision of information and the prompt consideration of matters referred to his / her Authority for determination. The Authorities’ respective Lead Officers at the Commencement Date are:

(i) BCC – Head of Strategic City Transport (currently Adam Crowther)

(ii) NSDC – Head of Highways & Transport (currently Colin Medus)

(iii) SGDC – Strategic Public Transport Manager (currently Janet Kings)

(iv) BANES – Group Manager Transport (currently Gary Peacock)

(b) Each Authority shall ensure that whenever its Lead Officer is on leave or otherwise unavailable, it appoints an alternative person to act in his or her place with full power to do anything he or she would be able to do, and who will be their Lead Officer.

(c) Each Authority will authorise its Lead Officer and the Project SRO will authorise the Project Team to take any steps necessary to ensure the efficient promotion of the Project whether in response to any objection or requests by the Inspector at any Public Inquiry or for any

other reason relating to the effective promotion of the Project provided the within the scope of Project.

13. PROMOTING THE PROJECT

13.1 The Authorities will jointly promote the Project in accordance with their respective Council resolutions and the terms of this agreement.

13.2 Each Authority will keep the other fully informed in relation to matters that relate to the progress of any Order and the Project so as to promote timely and well-informed decision-making.

14. FINANCIAL ARRANGEMENTS

14.1 The Authorities will assume joint and several liability to perform their obligations under any Order and any agreements that may be reached with third parties, including any agreements or concessions to implement the Third Initial Stage of the Project.

14.2 On 17 May 2018 the DfT notified NSDC that its Large Local Major Scheme funding bid had not been successful. However the DfT notification letter stated a willingness to continue to have detailed discussions with WECA NSDC and other stakeholders in the West of England about potential improvements to rail services, including the MetroWest programme, and how they might be funded. The Parties will continue to work together to secure appropriate funding for the Project. As an interim measure and to prevent any delay in completion of the Project the Parties agree that the Third Initial Stage should be completed. NSDC is taking responsibility for all the additional liability required to progress the delivery of the scheme over and above the estimated out-turn of £58m as per the total scheme estimated cost of £58.159m referred to in the Preliminary Business Case endorsed by the WoE Joint Transport Board on 3rd September 2014. For the avoidance of any doubt the liability for BCC, B&NES and SGC remains at the same level as included in the Second Initial Stage.

14.3 In the event that WECA agrees to take on liability for the Project (including any obligations under any Order any agreements that may be reached with

third parties and any agreements or concessions to implement the Third Initial Stage of the Project) instead of BCC, BANES and SGDC then from the date that WECA notifies the Authorities that it takes on liability for the Project, BCC, BANES and SGDC shall be released from all liability and obligations in this Agreement and since 1st April 2013 (the Project Cost Baseline Date) but without prejudice to the rights of the parties in relation to any antecedent breach of their obligations.

14.4 Notwithstanding **clause 14.1** above, all financial liabilities under the Third Initial Stage of the Project during the term of this Agreement will be apportioned between the Authorities according to the following proportions (“the Standard Proportions”):

	Liability agreed in the Second Initial Stage based on a scheme estimated out-turn cost of £58m	Liability for the additional £58m taken on by NSDC, for the revised estimated capital cost of £116M (as set out in the Outline Business Case)	Net share of total liability for the Third Initial Stage
B&NES	15% of £58M	0% of additional £58M	15% of £58M
BCC	30% of £58M	0% of additional £58M	30% of £58M
NSDC	50% of £58M	100% of additional £58M	50% of £58M + 100% of a further £58M
SGC	5% of £58M	0% of additional £58M	5% of £58M
WECA	0% of £58M	0% of additional £58M	0%
Total	100%	100%	100.0%

14.5 In the event that WECA notifies the Authorities in accordance with **clause 14.5** above that it takes on the obligations and liabilities of BCC, BANES and SGDC then from the date of notification until the Expiry Date WECA shall bear the total of the Standard Proportions borne by BCC, BANES and SGDC.

14.6 The Authorities agree that and in relation to Project expenditure:-

- (a) each Party shall bear its own costs incurred by them up to but not including the Project Cost Baseline Date and such costs shall not be treated as Project costs;

- (b) From and including the Project Cost Baseline Date until completion of the Full Business Case the costs shall be shared in the Standard Proportions as defined in **clause 14.6**

14.7 The Authorities shall indemnify each other in respect of all costs, expenses, actions, proceedings or other expenditure arising under or in connection with a project agreement to the extent that either of them bears, has borne or is exposed to the risk of bearing more than their share of such based on the Standard Proportions.

14.8 Each Authority will make available the necessary funds to ensure that the Authorities and the Project Team can satisfy all liabilities falling due for payment, without one Authority having to make a payment on behalf of the other.

15. THIRD PARTY LIAISON

15.1 The Project Team shall be responsible for all negotiations with third parties including objectors and potential objectors to the Order(s).

15.2 No Authority shall meet, correspond or negotiate with such third parties without the consent of the Project Team.

15.3 In accordance with **clause 11.4(d)** any agreement which the Project Team makes with any third party must either be within the scope of an express authority delegated to it by the Authorities in writing or subject to ratification by the RPB and not binding until so ratified.

15.4 Subject to any authorisation required from the Authorities the RPB is authorised to and may settle the terms of any agreement with an objector, undertaking or revision to the Orders.

15.5 The Project Team shall where appropriate and reasonably practicable invite an officer from the Authority whose area any objection or third party issue concerns to attend any meeting with that objector or third party.

- 15.6 The representative of an Authority at such meeting shall not publicly disagree with the Project Team's position in respect of the negotiations with the objector or third party and all Authorities shall observe the requirements of **clause 22 (Publicity)**

16. LIABILITIES & INDEMNITIES

- 16.1 Notwithstanding the cost allocation provisions, where a liability under the Project arises out of either where one Authority ("the Indemnifying Party"):

- (a) fails to comply with the terms of this agreement; or
- (b) acts deliberately or negligently or commits an omission; or
- (c) makes a decision which leads to an increase in the costs of the Project;

the Indemnifying Party will bear the whole cost of the resulting costs and indemnify the other Authorities accordingly.

- 16.2 Each Authority shall ensure that it has on its own account, or co-operates with the other Authority to ensure that the Authorities jointly or the Project Team has appropriate insurance policies in force at all times to cover all risks the Project is reasonably able to insure against.

- 16.3 For the avoidance of doubt, any disputes as to valuation or the amounts of any claims by one Authority against the Project or the other are within the scope of the provisions on Remediation and Dispute Resolution referred to below.

17. WITHDRAWAL

- 17.1 Each Authority acknowledges that, if it withdraws from the Project that withdrawal is likely to cause loss of income and additional cost to the other Authorities, including but not limited to, the loss of funding from the Department for Transport and the loss of any economies resulting from the joint working between the Authorities in the implementation of local transport improvements. Similarly, each Authority acknowledges that if it takes any

decision within the powers delegated to the Joint Committee (“an Independent Decision”) such decision may cause loss to the other Authorities.

- 17.2 An Authority may withdraw from this Agreement by giving notice in writing of its intention to withdraw to the other Authorities. Such notice shall be no less than **3** months’ notice expiring at any time.
- 17.3 Subject **clauses 17.4 and 17.5** each Authority agrees that in the event that it gives notice of withdrawal to the other Authorities under **clause 17.1** or takes an Independent Decision, it will use its reasonable endeavours to minimise and will indemnify the remaining Authorities against, any loss or additional expense which the other Authorities may suffer as a result of its Independent Decision or withdrawal from this Agreement and the Project.
- 17.4 Where an Authority takes an Independent Decision, it shall be liable to the other Authorities for any loss suffered by the remaining Party or Parties as a consequence of the Independent Decision.
- 17.5 Where any Authority withdraws from the Project:-
- (a) Any obligations which the withdrawing Authority has entered into with the other Authorities in pursuance of any funding provided or to be provided by the Joint Committee shall remain in force;
 - (b) The Disputes Procedure set out in **clause 18** shall remain in force in respect of any matters arising from the performance of or withdrawal of either Party under this Agreement;
 - (c) **Clause 21 (Confidential Information)** of this Agreement shall continue without limit and shall survive the termination of this Agreement; and
 - (d) All Authorities will seek to minimise costs arising from the other Authority's withdrawing.

18. DISPUTES

- 18.1 Where an Authority is of the opinion that another Authority is failing to comply with the provisions of this Agreement in respect of any matter, including the provisions of **Clause 5** to work together in good faith and in an open, co-operative and collaborative manner, the Authorities shall use their reasonable endeavours to resolve any such matter amicably without resort to the formal remediation and dispute resolution procedures set out below.
- 18.2 Notwithstanding **Clause 19**, at any time the Chief Executive of any Authority ("**the first Party**") may serve on the Chief Executive of the other Authority ("**the second Party**") a "**Default Notice**", alleging that the second Authority has failed to comply with its obligations under this Agreement, setting out any suggested remedial action and any damage which the first Authority has or is likely to suffer as a result of the alleged failure.
- 18.3 The second Authority on receipt of a Default Notice shall have 14 days within which to serve on the Chief Executive of the first Party a "**Counter notice**", setting out in respect of every matter contained in the Default Notice, proposals for the remediation of the alleged failure and making good any loss which the first Authority may have suffered or may suffer as a result of the failure, or the reasons why that alleged failure is disputed.
- 18.4 Within 14 days of receipt of a Counter notice, the Chief Executive of the first Authority shall send to the Chief Executive of the second Authority a "**Notice of Acceptance**" of any proposals contained in the Counter notice in so far as those proposals are accepted by the first Authority, and may send a "**Notice of Dispute**" in so far as no proposal satisfactory to the first Authority is contained in the Counter notice, setting out in respect of each proposal which is not accepted by the first Authority why it is considered to be unacceptable.
- 18.5 Where any proposal in a Counter notice is accepted in a Notice of Acceptance, the second Party shall implement that proposal.

18.6 Where any matter is contained in a Notice of Dispute, cannot be resolved by the procedure in **clauses 18.1 to 18.4** it shall fall to be dealt with under the Disputes Procedure set out in **Clause 19**.

19. DISPUTE RESOLUTION

19.1 In the event of any dispute arising between the Authorities (including the service of a Notice of Dispute), as a matter of urgency, the Authorities will first attempt to settle the issue in dispute by referring the matter as follows:

- (a) Initially to a meeting of the Lead Officers;
- (b) in the event of failure of Lead Officers to agree a resolution, to the Joint Committee
- (c) In the event of the Joint Committee failing to resolve the matter to a meeting of the Leaders of three Authorities the Mayor for BCC and the WECA Mayor

19.2 If the dispute is not resolved by such means within 14 days of such reference, the Authorities will attempt to settle the issue in dispute ("Dispute") by mediation in accordance with the Centre for Dispute Resolution ("CEDR") Model Mediation Procedure or any other model mediation procedure as agreed by the Authorities. To initiate a mediation, any Party may give notice in writing (a "Mediation Notice") to any one or more of the others requesting mediation of the Dispute and shall send a copy thereof to CEDR or an equivalent mediation organisation as agreed by the Authorities, asking them to nominate a mediator. The mediation shall commence within twenty (20) Working Days of the Mediation Notice being served. If there is any point in respect of the conduct of the mediation upon which the Authorities are unable to agree within ten (10) Working Days from the date of the Mediation Notice, CEDR will, at the request of one of the Authorities, decide that point for the Authorities, having consulted with them. The Authorities will co-operate with any person appointed as mediator providing him with such information and other assistance as he shall require and will pay his costs as he shall determine or, in the absence of such determination, such costs will be shared equally.

- 19.3 None of the Authorities may commence any court proceedings in relation to any Dispute until they have attempted to settle it by mediation under **Clause 19.1(c)** and/or such mediation has terminated. The Authorities will take no further steps in the court proceedings until any such mediation commenced under **Clause 19.1(c)** has terminated. Nothing in this **Clause** shall prevent an Authority from having recourse to a court of competent jurisdiction for the sole purpose of seeking a preliminary injunction or such other provisional judicial relief as it considers necessary to avoid irreparable damage.
- 19.4 If the Dispute has not been resolved by the mediation procedure detailed in **Clause 19.1(c)** within one (1) month of the initiation of such procedure, the Dispute may be referred to the courts for resolution.
- 19.5 Copies of all notices issued under **clause 18** shall be sent to the other Party's proper officers and/or lead officer (as the case may be).

20. INTELLECTUAL PROPERTY

- 20.1 All intellectual property in any material created by or on behalf of the Authorities or any of the Authorities in the course of the Project shall be owned jointly by those Authorities which are participating in the Project and shall be available equally to each such Party.
- 20.2 Each Party warrants that any intellectual property created by its officers for the purposes of the Project does not infringe any third party's intellectual property rights.
- 20.3 Each Party shall indemnify the other Authorities against any loss arising out of any dispute or proceedings brought by a third party alleging infringement of its intellectual property rights by use of the first Party's intellectual property for the purpose of the Project.
- 20.4 Where existing intellectual property of an Authority has been used for the purpose of the Project that Authority agrees to grant the other Party a non-

exclusive perpetual non-transferable and royalty free licence to use, modify, amend and develop the same for the purpose of the Project.

- 20.5 Where the Authorities generate any receipts from the licensing or sale of any intellectual property generated by this Project the net surplus shall be divided between them in the Standard Proportion.

21. CONFIDENTIAL INFORMATION

- 21.1 Subject to **Clause 23.3** and where disclosure of any Confidential Information is required by Laws, the Authorities shall at all times use their reasonable endeavours to keep confidential and ensure that such information is used only for the purpose of the Project (and to procure that their respective employees agents consultants contractors and sub-contractors shall keep confidential and shall use such information only for the purpose of the Project) all Confidential Information concerning the Project or the business and affairs of any other Authority which may now or at any time hereafter be in an Authority's possession and shall not disclose it except with the consent of that other Authority, such consent not to be unreasonably withheld.
- 21.2 For the purpose of this Agreement "Confidential Information" means any information imparted to any of the Authorities or their employees agents consultants contractors or sub-contractors ("the Receiving Party") which was imparted to the Receiving Party on the basis that it is to be kept confidential or would by its nature normally be regarded as being confidential or to the knowledge of the Receiving Party was obtained by the other Authorities on the basis that it was to be kept confidential or is of commercial value in relation to the Project but shall not include any information which is for the time being in the public domain otherwise than by reason of its wrongful disclosure by the Receiving Party.

22. PUBLICITY

- 22.1 The Authorities will make such venues available for the provision of information about the Project and such other publicity as the Project Team may reasonably require.
- 22.2 The Project Team and the Project SRO on its behalf shall: -
- (a) co-ordinate all press releases, advertisements and other publicity material in connection with the Project,
 - (b) ensure that it keeps members of the Joint Committee and of the Authorities up to date and briefed on the progress of the Project and establish a protocol for doing so.
 - (c) Each Party will refrain from making statements about the application for the Orders and Project other than statements that have been authorised by the Project Team

23. COMPLIANCE WITH LAWS & DATA PROTECTION

- 23.1 The Authorities shall at all times comply with all Laws including but not limited to the Data Protection Act 1998 and will, where appropriate maintain a valid and up to date registration or notification under such Laws.
- 23.2 Each Authority shall indemnify and keep indemnified the other Authorities against all losses, claims, damages, liabilities, costs and expense (including reasonable legal costs) incurred by the other Authorities in respect of any breach of this Clause by the Authority and/or any act or omission of any employee, agent, consultant, contractor or sub-contractor.
- 23.3 Each Authority shall grant to the other Authorities the right of reasonable access to all records of Personal Data relevant to the Project, as defined in the Data Protection Act 1998, and shall provide reasonable assistance at all times during the currency of this Agreement to ensure the quality and security of data collected.

24. FOI & EIR

- 24.1 Each Authority acknowledges that the other Authorities are subject to the requirements of the Freedom of Information Act 2000 (“FoIA”) and the Environmental Information Regulations 2004 (“EIR”) and each Authority shall where reasonable assist and co-operate with the other Authority (at their own expense) to enable the other Authorities to comply with these information disclosure obligations.
- 24.2 Where an Authority receives a request for information under either the FoIA or the EIR in relation to information which it is holding on behalf of any of the other Authorities in relation to the Project, it shall (and shall procure that its sub-contractors shall):
- (a) transfer the request for information to the other Authority as soon as practicable after receipt and in any event within two Working Days of receiving a request for information;
 - (b) provide the other Authority with a copy of all information in its possession or power in the form that the Authority requires within ten Working Days (or such longer period as the Authority may specify) of the Authority requesting that information; and
 - (c) provide all necessary assistance as reasonably requested by the other Authority to enable the Authority to respond to a request for information within the time for compliance set out in the FoIA or the EIR.
- 24.3 Where an Authority receives a request for information under the FoIA or the EIR which relates to this Agreement or the Project, it shall inform the other Authorities of the request for information as soon as practicable after receipt and in any event at least two Working Days before disclosure and shall use all reasonable endeavours to consult with the other Authorities prior to disclosure and shall consider all representations made by the other Authorities in relation to the decision whether or not to disclose the information requested.

24.4 The Authorities shall be responsible for determining in their absolute discretion whether any information requested under the FoIA or the EIR:

- (a) is exempt from disclosure under the FoIA or the EIR;
- (b) is to be disclosed in response to a request for information.

24.5 Subject to **Clause 24.3** above each Authority acknowledges that the other Authorities may be obliged under the FoIA or the EIR to disclose information:

- (a) without consulting with the other Authority where it has not been practicable to achieve such consultation; or
- (b) following consultation with the other Authority and having taken its views into account.

25. ASSIGNMENT

25.1 Save as may be imposed as part of any re-organisation of local government neither Authority may assign, subcontract or transfer its rights or obligations under this Agreement

26. VARIATION

26.1 This Agreement, including the Annexes, may only be varied by written agreement of the Parties

27. CHARGES AND LIABILITIES

27.1 Except as otherwise provided, the Authorities shall each bear their own costs and expenses incurred in complying with their obligations under this Agreement.

27.2 For the avoidance of doubt, in accordance with **Clause 14** the Authorities agree to share the costs and expenses arising in respect of the Third Initial Stage of the Project between them in accordance with the Standard Proportions.

27.3 Each Authority shall remain liable for any losses or liabilities incurred due to its own or its employee's actions and no Authority intends that the others shall be liable for any loss it suffers as a result of this Agreement.

28. STATUS

28.1 This Agreement is intended to be legally binding, and legal obligations or legal rights arising between the Authorities from this Agreement shall from the date of this Agreement be construed accordingly.

29. WAIVER

29.1 No failure or delay by a party to exercise any right or remedy provided under this agreement or by law shall constitute a waiver of that or any other right or remedy, nor shall it prevent or restrict the further exercise of that or any other right or remedy. No single or partial exercise of such right or remedy shall prevent or restrict the further exercise of that or any other right or remedy

30. SEVERANCE

30.1 If any condition, provision or Clause of this Agreement shall become or shall be declared by any court of competent jurisdiction to be void, invalid, illegal or unenforceable in any way, such invalidity or unenforceability shall in no way impair or affect any other provision all of which shall remain in full force and effect

31. GOVERNING LAW AND JURISDICTION

This Agreement shall be governed by and construed in accordance with English law and, without affecting the Dispute Procedure set out in **clause 19**, each party agrees to submit to the exclusive jurisdiction of the courts of England and Wales.

32. GENERAL

- 32.1 Nothing contained or implied herein shall prejudice or affect the Authorities' rights and powers duties and obligations in the exercise of their functions as local authorities and/or in any other capacity and all rights powers discretions duties and obligations of the Authorities under all laws may at all times be fully and effectually exercised as if the Authorities were not party to this Agreement and as if this Agreement had not been made.
- 32.2 The Authorities shall only represent themselves as being an agent partner or employee of any of the other Authorities to the extent specified by this Agreement and shall not hold themselves out as such nor as having any power or authority to incur any obligation of any nature express or implied on behalf of any of the other Authorities except to the extent specified in this Agreement.
- 32.3 Save as may be imposed as part of any re-organisation of local government, this Agreement is personal to the Authorities and no Authority shall assign transfer or purport to assign or transfer to any other persons any of its rights or sub-contract any of its obligations under this Agreement.
- 32.4 No person other than the Authorities shall be entitled to enforce any of its terms under the Contracts (Rights of Third Parties) Act 1999.
- 32.5 Any notice required or permitted to be given by an Authority to the other Authorities under this Agreement shall be in writing and addressed to the Chief Executive of the other Authorities at their principal office.
- 32.6 This Agreement constitutes the entire agreement and understanding of the Authorities and supersedes any previous agreement between the Authorities relating to the subject matter of this Agreement

Signed for and on behalf of **NORTH
SOMERSET DISTRICT COUNCIL**

Signature:
Name:
Position:
Date:

Signed for and on behalf of **SOUTH
GLOUCESTERSHIRE DISTRICT
COUNCIL**

Signature:
Name:
Position:
Date:

Signed for and on behalf of **BRISTOL
CITY COUNCIL**

Signature:
Name:
Position:
Date:

Signed for and on behalf of **BATH AND
NORTH EAST SOMERSET COUNCIL**

Signature:
Name:
Position:
Date:

Signed for and on behalf of **WEST OF
ENGLAND COMBINED AUTHORITY**

Signature:
Name:
Position:
Date:

Annex A. The Metrowest Governance Arrangement Chart

See attached document

Annex B. The Outline Business Case

See www.travelwest.info/projects/MetroWest

MetroWest Phase 1 - Initial Promotion Agreement: Risk Register

Negative Risks that offer a threat to programme and its Aims (Aim - Reduce Level of Risk)

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			Date
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	
1	DfT Large Local Major Project funding bid unsuccessful	Insufficient funds in the Large Local Major Project Fund / DfT keen to explore other funding sources.	Alternative funding strategy will need to be explored and delivery programme likely to be subject to delays.	open		Programme / Project Management and Reputatoin	WoE Councils and WECA	Ongoing engagement with DfT	stable	2	5	10		3	3	9	May-18
2	Initial Promotion Agreement (3) not signed by all parties (WoE Councils and WECA)	One or more parties does not sign the agreement to continue the development of the project.	Assuming that a complete funding strategy is identified in time to submit the DCO application at the end of July, the DCO could not be submitted without a signed promotion agreement between all parties, therefore the overall scheme programme likely to slip.	open		Programme / Project Management and Reputatoin	WoE Councils and WECA	Approvals currently being sought by all parties for authority to sign the Initial Promotion Agreement (3)	stable	1	5	5		1	3	3	May-18
3	Current funding gap unable to be met by DfT bid or other sources results in further BCC resources being invested on a project which becomes undeliverable within current programme.	Large Local Major Project Fund unsuccessful and alternative funding sources cannot be identified within the current programme.	Programme slips or current project scope becomes underfiverable within the programme. Further project development costs incurred.	open		Programme / Project Management and Reputatoin	WoE Councils and WECA	Ongoing engagement with DfT. North Somerset Council has committed to take on all financial liability for the additional scheme costs, over and above the original £58m scheme cost estimate.	stable	1	5	5		1	1	1	May-18
												0				0	
												0				0	

Bristol City Council Equality Impact Assessment Form



Name of proposal	MetroWest Phase 1 – Initial Promotion Agreement
Directorate and Service Area	Growth & Regeneration, Strategic Transport
Name of Lead Officer	Andrew Davies

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?

To seek approval to delegate authority to the Transport Service Director, in consultation with Legal and Democratic Services, to sign and seal an Initial Promotion Agreement (Version 3) in conjunction with the four West of England (WoE) councils and the West of England Combined Authority (WECA), for the continued development of the MetroWest Phase 1 rail project.

The Initial Promotion Agreement (IPA3) will enable the required Development Consent Order (DCO) for the scheme to be submitted to programme. The IPA3 does not place any obligation or liability on any of the authorities to construct the project.

This proposal seeks approval to continue the development of the project. A full Equality Impact Assessment has already been undertaken for the project.

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?

A full Equality Impact Assessment has been undertaken for the scheme using

data from the following sources:

Census 2001

Census 2011

Department for Communities and Local Government

Office of National Statistics

Public Health England

National Child Measurement Programme

Local Councils

Avon and Somerset Constabulary

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

None – a full Equality Impact Assessment has been undertaken.

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

A range of stakeholder engagement has been undertaken. Details contained in the full Equality Impact Assessment for the project.

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?

The project's full Equality Impact Assessment has identified that the construction and operation stage impacts across the protected characteristics groups. Through further stakeholder engagement, comments and recommendations will be considered to revise the next stage EqIA.

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

A range of measures are proposed in the EqIA to mitigate these impacts, such as traffic management measures, consideration of walking routes, temporary barriers, etc. These will be explored further in the Transport Assessment

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

The final scheme will deliver improved accessibility across the protected characteristics groups. This assessment covers the continued development of the scheme only.

3.4 Can they be maximised? If so, how?

New rail infrastructure to be designed in accordance with rail accessibility

technical standards and comply with the Equality Act. These benefits can be further improved when considered in the context of the wider transport network with improved interchange opportunities and better connected communities.

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?
Covered by the full scheme EqIA process. This assessment covers the continued development of the scheme only.
4.2 What actions have been identified going forward?
Covered by the full scheme EqIA process. This assessment covers the continued development of the scheme only.
4.3 How will the impact of your proposal and actions be measured moving forward?
Covered by the full scheme EqIA process. This assessment covers the continued development of the scheme only.

Service Director Sign-Off:	Equalities Officer Sign Off:  Duncan Fleming
Date:	Date: 11/5/2018

Eco Impact Checklist

Title of report: MetroWest Phase 1 – Initial Promotion Agreement				
Report author: Andrew Davies				
Anticipated date of key decision 3 July 2018				
<p>Summary of proposals: To seek approval to delegate authority to the Transport Service Director, in consultation with Legal and Democratic Services, to sign and seal an Initial Promotion Agreement (Version 3) in conjunction with the four West of England (WoE) councils and the West of England Combined Authority (WECA), for the continued development of the MetroWest Phase 1 rail project.</p> <p>The Initial Promotion Agreement (IPA3) will enable the required Development Consent Order (DCO) for the scheme to be submitted to programme. The IPA3 does not place any obligation or liability on any of the authorities to construct the project.</p> <p>This proposal seeks approval to continue the development of the project. A full Environmental Impact Assessment (EIA) process has already been undertaken for the project. www.metrowestphase1.org/peir</p>				
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		Enhancements to the rail network contribute to a reduction in emissions through increased sustainable travel choices. Some negative impacts of increased diesel train frequency.	Enhancement of the local rail network off sets negative air quality impacts of increased train frequencies.
Bristol's resilience to the effects of climate change?	Yes	+ive	Enhancements to the rail network contribute to a reduction in emissions through increased sustainable travel choices.	Enhancement of the local rail network.
		+/- ive	As assessed through the EIA there is risk of flooding to the lines but overall the completed railway is not expected to	Further details can be found in the EIA.

			increase impacts of flooding.	
Consumption of non-renewable resources?	Yes	+ive	Enhancements to the rail network contribute to a reduction in emissions through increased sustainable travel choices.	Enhancement of the local rail network.
		-ive	Construction of new infrastructure consumes materials and fuels	Aim to minimise the use of non-renewable materials. Construction Management plan to be agreed.
Production, recycling or disposal of waste	Yes	-ive	Waste will be produced through infrastructure and engineering works	Ensure that waste is disposed of correctly and legally. Waste will be disposed of according to Network Rail's policy, more information can be found in the EIA. The impact has been assessed as a short term negative impact.
The appearance of the city?	Yes	+ive	Enhancements to the rail network contribute to wider travel choices and less reliance on the private car.	Enhancement of the local rail network.
		-ive	There may be some effects to Heritage sites/ building	Mitigation measures are covered within the EIA.
Pollution to land, water, or air?			Enhancements to the rail network contribute to a reduction in emissions through increased sustainable travel choices. Some negative impacts of increased diesel train frequency. Construction works	Enhancement of the local rail network off sets negative air quality impacts of increased train frequencies. Mitigation measures

			will temporarily affect local air quality; some works will be within the air quality management area. Car parking may be situated on contaminated land and some works may be affected by proximity to the old Priory Farm Landfill site, this is described in the EIA.	covered in EIA and impacts have been assessed as not significant. Mitigation measures covered in EIA and this is not seen as a significant impact.
Wildlife and habitats?	Yes	-ive	Development of infrastructure has the potential to harm wildlife and habitats during construction. Further information can be seen within the EIA.	Ecology surveys to inform construction timing, methodology and mitigation measures. Mitigation measures are covered within the EIA.

Consulted with:

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

The significant impacts of this proposal are to continue the development of the MetroWest Phase 1 project thereby enhancing the local rail network and contributing to wider travel choices and less reliance on the private car. Some negative impacts during construction and; air quality impacts of increasing train frequencies, but these are not significant impacts.

The proposals include the following measures to mitigate the impacts.. a full EIA process has been undertaken which identifies a range of mitigation measures.

The net effects of the proposals are more sustainable travel patterns promoted by enhancing the local rail network, as part of a wider transport strategy.

Checklist completed by:

Name: Andrew Davies	
Dept.: Growth & Regeneration	
Extension: 36539	
Date: 10 May 2018	
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway - Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Arnside and Glencoyne Square Regeneration		
Ward(s)	Southmead		
Author: Paul Owens	Job title: Senior Project Manager		
Cabinet lead: Cllr Paul Smith	Executive Director lead: Colin Molton		
Proposal origin: City Partner			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report:			
Agreement is sought to support regeneration and housing delivery investment in Southmead working in partnership with local communities to bring forward development. The area of investment is shown at Appendix A and particularly focuses on Glencoyne Square, Arnside Road, and Greystoke Avenue.			
Evidence Base:			
<u>Regeneration Objectives:</u>			
Southmead is within Bristol’s priority ‘Northern Arc’ regeneration area in which the adopted Bristol Development Framework Core Strategy’s policy approach includes: promotion of additional and more diverse housing types to help support and improve local services and facilities; securing higher densities and more efficient use of land in accessible locations; development of some open land with remaining open spaces improved so that they provide more attractive and usable areas for the local communities; and strengthening local centres with resulting reduction in deprivation.			
There is significant regeneration potential in Southmead; particularly the central area, including Glencoyne Square, Arnside Road and Greystoke Avenue.			
A Southmead Community Plan was published in 2015 – “a better future for Southmead” 2015-2025. The plan is overseen and coordinated by Southmead Development Trust (SDT). It includes the following actions:			
<ul style="list-style-type: none"> • Ensure that new housing meets local housing needs by helping to diversify the housing offered in Southmead. This includes meeting the need of residents wishing to downsize. • Explore options and appetite for a local community owned housing scheme. • Identify and establish a positive working relationship with a housing association as an investment partner for Southmead. • Research the development of a new community building on the Greystoke Strip [to achieve objective of “Modern, accessible and well-designed community buildings” to address shortcomings in existing stock] 			
Bristol is participating in the governments One Public Estate (OPE) programme. Included within the successful bid was a proposal for the creation of a Community Hub in Southmead, bringing together (co-locating) different elements of the public sector, enabling service integration and the development/disposal of surplus land.			
Bristol’s Local Plan Review recently consulted upon suggests that Central Southmead might be a focus for urban living. There are other proposed developments within the area, such as at the former Dunmail primary school site, which should also be considered as a part of the regeneration of Southmead.			

Achieving Regeneration:

It is essential that future development plans for central Southmead are well coordinated to meet the needs and aspirations local people and address residential, transport, and commercial requirements. As such a high-level masterplan approach to redevelopment should be supported to ensure a successful neighbourhood. The Council owns land within Southmead which could usefully be developed in partnership with local communities to achieve regeneration objectives.

SDT have identified Glencoyne Square as an area that could be developed, for both housing and a Community Hub, and the retail centre at Arnside Road in need of improvement. SDT have selected United Communities Housing Association (UC) as a development partner. The transfer of selected open spaces in Council ownership to the SDT would facilitate local development and strengthening local communities. Transfer, whilst achieving best value, could be for community benefit (“Social Value”) rather than a capital receipt.

In order to support housing delivery and regeneration at Glencoyne Square and Arnside the Council, with the support of SDT and UC, submitted a £3m Housing Infrastructure Marginal Viability Fund (HIF) bid to facilitate development. The bid was successful and a £3m award was [announced](#) in February 2018. The grant will be invested in public realm works, road/highway, land remediation and land assembly.

Recommendations:

In consultation with the Cabinet Member for Housing:

1. Accept the Housing Infrastructure Fund (Marginal Viability) funding award of up to £3m from Ministry of Housing, Communities & Local Government as indicated in this report.
2. Agree that the fund will be invested as set out in this report.
3. Delegate authority to the Executive Director of Growth & Regeneration in consultation with the relevant Executive Member to dispose of Council owned land in central Southmead on appropriate terms to support regeneration and housing delivery in central Southmead, working in partnership with the Southmead Development Trust, United Communities Housing Association, and other local stakeholders.

Corporate Strategy alignment:

Bristol’s Corporate Strategy 2018–2023 includes a strong focus upon working with city partners to secure objectives, to build a better Bristol, and to develop people and places to improve outcomes, and empower communities and reduce the need for council services. The proposed Arnside and Glencoyne Square Regeneration not only supports this partnership working but directly addresses the following Corporate Strategy themes: Empowering and Caring, Fair and Inclusive, Well Connected, and Wellbeing.

City Benefits: The proposal seeks to support local regeneration, the provision of new homes, and an improved town centre in partnership with local stakeholders.

Consultation Details: The proposal seeks to build upon and deliver the Southmead Community Plan. Individual project proposals will be subject to consultation.

Revenue Cost	n/a	Source of Revenue Funding	n/a
Capital Cost	£3m	Source of Capital Funding	MHCLG HIF grant award
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice: Bristol City Council (BCC) has successfully bid through the Housing Infrastructure Fund (Marginal Viability) for £3m. If the bid had not been successful the proposals would have had to be prioritised and met from the BCC capital programme. The funding has been incorporated into the BCC capital programme from 2018/19 onwards.

Drawing down the funding will allow work to commence with the local community to develop investment plans for public realm works, road/highway, land remediation and land assembly within the £3m available. All expenditure charged against the funding available must meet grant conditions and provide regular updates on progress to MHCLG and any change in spend profile.

Finance Business Partner: Neil Sinclair 28th March 2018

2. Legal Advice: Any transfer of land by the Council has to be at the best value obtainable unless the land is valued at less than £2m, and a clear case made in respect of social, economic and environmental value. At present it is not clear what the value of the land that is involved in this project is although it is unlikely to reach this level. In addition disposal of land at less than market value may give rise to state aid issues. Accordingly valuation aspects, consideration received etc and will need to be clarified to avoid any challenge to the transfer. Although the grant monies, being for infrastructure purposes, may not be considered state aid, the project itself may well come within the ambit of state aid. This is because it appears that the ultimate benefit of the new built homes will be for SDT and UC. Although BCC will obtain 'social value' for this that is not a concept allowing departure from normal State Aid rules. It is possible that the land transfer may come within the *de minimis* principle but no valuation of the proposed land transfer is available. Other potential avenues for addressing state aid may be available, but this will require more information and more detailed consideration. Further legal advice will be needed in respect to state aid issues once full information is available.

Legal Team Leader: Eric Andrews, Team Leader, Legal Services, 19th April 2018

3. 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, 23/4/18

4. HR Advice: No HR implications evident.

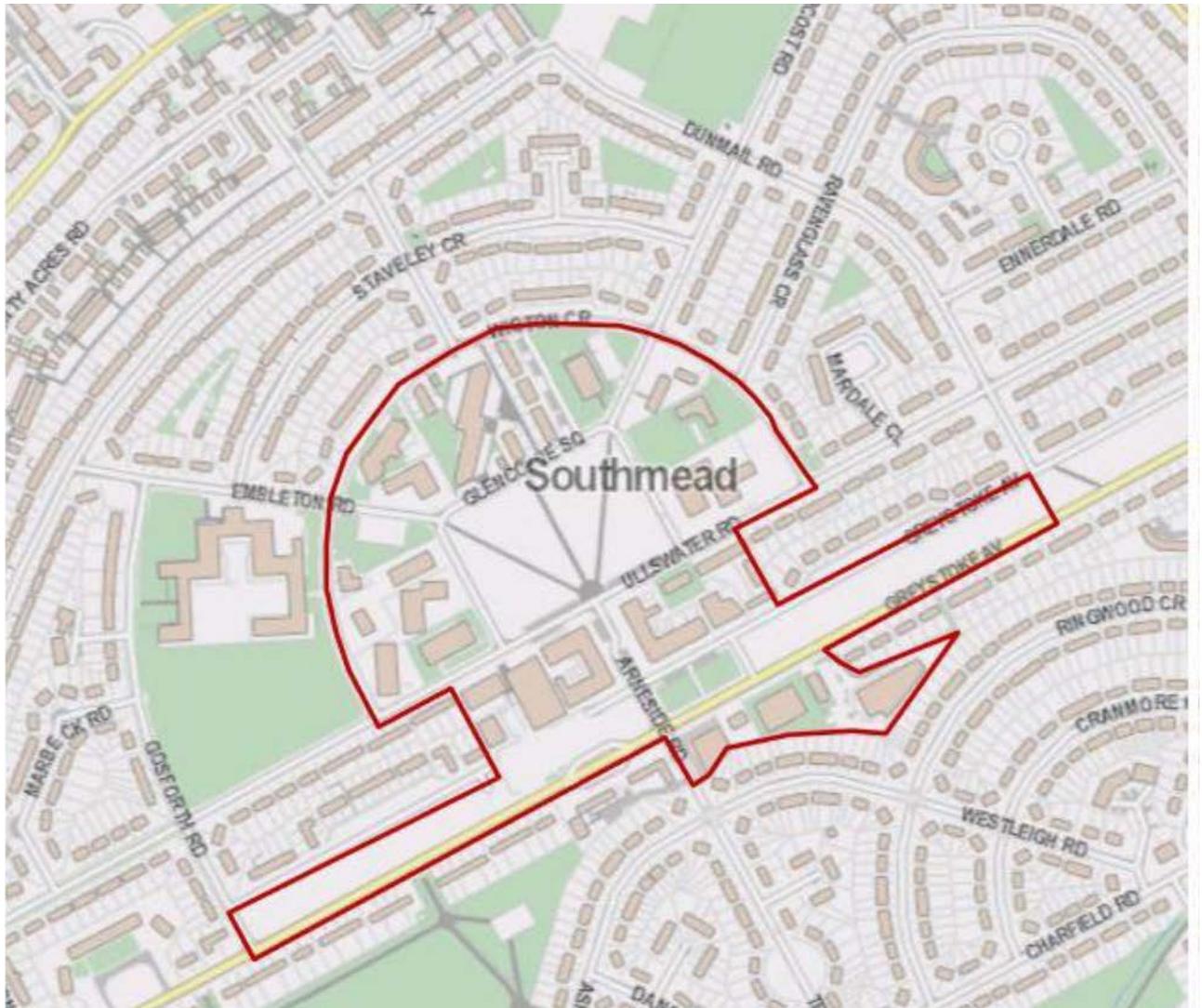
HR Partner: James Brereton (People & Culture Manager), 23rd April 2018

EDM Sign-off	Colin Molton	25/4/18
Cabinet Member sign-off	Cllr Paul Smith	30/4/18
CLB Sign-off	Alison Comley	15/5/18
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4/6/18

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

Arnside and Glencoyne Square Regeneration

Area of Focus for Arnside & Glencoyne Regeneration



Bristol City Council Equality Impact Assessment Form

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



Name of proposal	Arnside and Glencoyne Square Regeneration
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 agreement is sought to support regeneration and housing delivery investment in Southmead working in partnership with local communities to bring forward development, including an anticipated 300 new homes. Transfer of BCC owned sites to Southmead Development Trust on terms to be agreed.

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 Southmead Ward and therefore Southmead residents, present and future, will be most affected.

Proposals include regeneration and housing delivery investment in Southmead working in partnership with local communities to bring forward development.

Key demographics which relate to the protected groups are listed below:

- 15.7% of Southmead's population is BME, which is slightly lower than the Bristol average of 16%.
- Southmead experiences significantly greater deprivation than average. Central Southmead includes Lower Layer Super Output Areas within the

most deprived 10% in the country. 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.

- Southmead has higher than [Bristol] averages of people aged >65 and <15
- 66.4% of Southmead households occupy properties of 3 or more bedrooms, which is significantly higher than the Bristol average of 55.4%.

Bristol's Quality of Life Survey data (

https://opendata.bristol.gov.uk/pages/quality_of_life_results_201718/)

records for the population of Southmead:

- 40.6% have limiting illness, health problem or disability (28.1 average Bristol)
- 10.3% have a disability which prevents them leaving their house when they want to (5.3% average Bristol)
- 53% respondents who feel safe when outside in their neighbourhood after dark (70% average Bristol)
- 19% in receipt of means tested benefit (Bristol)

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

We don't have ward level data for Southmead on Sexual Orientation or Gender Reassignment

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

The **Arnside and Glencoyne Square Regeneration** proposal seeks to respond to and support the delivery of the local community [Southmead Community Plan](#) published in 2015 – “a better future for Southmead” 2015-2025. The plan is overseen and coordinated by Southmead Development Trust (SDT). It includes the following actions:

- Ensure that new housing meets local housing needs by helping to diversify the housing offered in Southmead. This includes meeting the need of residents wishing to downsize.
- Explore options and appetite for a local community owned housing scheme.
- Identify and establish a positive working relationship with a housing association as an investment partner for Southmead.

- Research the development of a new community building on the Greystoke Strip [to achieve objective of “Modern, accessible and well-designed community buildings” to address shortcomings in existing stock]

The Soutmead Development Trust have agreed to lead on community involvement for these regeneration proposals and are well placed to do so.

Full public consultation will take place prior to any planning applications 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 proposals will lead to the physical redevelopment of sites and loss of public open space:

- 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 300 new homes, including 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 public realm improvements can be expected to benefit citizens with protected characteristics and accessibility for the disabled. Loss of public open space, including playspace, may be detrimental to those with protected characteristics, but it is anticipated that remaining public open space within the area will be upgraded to provide enhanced utility.

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.

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 local partners 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?

It is expected that individual development 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).

- Tailor communication methods and needs
- Southmead Development Trust to be able to confidently engage with local residents, with a particular focus on those with protected characteristics, 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:



Colin Molton

Date:

10/5/2018

Equalities Officer Sign Off:



Duncan Fleming

Date:

9/5/18

Eco Impact Checklist

Title of report: Arnside and Glencoyne Square Regeneration				
Report author: Paul Owens				
Anticipated date of key decision: 03/07/2018				
Summary of proposals: Agreement is sought to support regeneration and housing delivery investment in Southmead working in partnership with local communities to bring forward development.				
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>Site sales to support housing development: Site sales not expected to have significant impact. Subsequent development to generate 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>HIF investment in infrastructure: Drainage and public realm improvements will generate emissions during construction.</p>	<p>Public realm and pedestrian improvements expected to support walking and cycling and subsequently expected to slightly 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 Southmead. All developments will be subject to Planning Consents. Glencoyne Square and areas to the South are known to be a flood risk New developments may:</p>	<p>New developments will be constructed in accordance with Core Strategy policy BSC13. HIF funding will support appropriate SuDs provision. SuperMajor</p>

			<ul style="list-style-type: none"> - Be at risk of flooding. - Increase the flood plain making surrounding buildings more vulnerable to flooding. - Place additional demand on the mains drainage system. - Increase water run-off by creating more impermeable surfaces or removing trees. - Be designed to cope with extreme weather including heat wave and warmer weather. - Increase water consumption associated with site. 	<p>developments will be subject to BREEAM for Communities.</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. 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.</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	Waste will arise from construction works.	Construction contractors will be obliged to a prepare site waste

			Waste will arise from the normal occupation of the homes	<p>management plan in an approved format, which 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 Southmead regeneration. 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>Development schemes are expected to include dedicated cycle storage</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>Development and densification expected to lead to the loss of open space, albeit space with relatively low ecological value.</p> <p>Materials such as timber can have a detrimental effect on wildlife and habitats if not carefully sourced.</p>	<p>Development sites 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:				
<p>Lindy Morgan – Southmead Development Trust Sarah McQuatt – United Communities Housing Association</p>				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
<p>The significant impacts of this proposal are <i>mainly related to the proposed development of some 300 new homes and investment into improved public realm</i></p> <p>The proposals include the following measures to mitigate the impacts: Sustainable Urban Drainage (SUDs) <i>provision. The impacts and mitigation of individual housing development sites will be considered on a site-by-site basis.</i></p> <p>The net effects of the proposals are <i>mixed but will have positive aspects in the provision of SUDs and efficient housing provision.</i></p>				
Checklist completed by:				
Name:			Paul Owens	
Dept.:			Place/Growth & Regeneration	

Extension:	22737
Date:	24/4/2018
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Rough Sleeping Initiative (RSI) Targeted funding 2018-19 bid		
Ward(s)	Citywide		
Author: Hywel Caddy	Job title: Senior Commissioning Officer		
Cabinet lead: Paul Smith	Executive Director lead: Patsy Mellor		
Proposal origin: Other			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
<p>Purpose of Report: Approval to spend grant funding from the Ministry of Housing Communities and Local Government (MHCLG). A bid was submitted on 18th May 2018 that was approved by the Executive Director for Communities applying for a total of £624,712 for additional resources to reduce rough sleeping in the City in the winter of 2018-19. MHCLG have confirmed an award of £583,202 on 11th June.</p>			
<p>Evidence Base:</p> <p>Bristol has seen a massive increase in homelessness and rough sleeping since 2012 as a result of housing supply issues and rents outstripping wages and benefits. In November 2017 the annual rough sleeping count (on a given night) returned to the Ministry for Housing, Communities and Local Government (MHCLG) was 86.</p> <p>A multi-agency partnership was formed in the city in December 2015 to put in place an action plan to reduce rough sleeping. The action plan has been effective in stemming the increase in rough sleepers but additional resources are needed to make a tangible reduction in the levels of rough sleeping in the city.</p> <p>The effective partnership response and services has been recognised by MHCLG who have invited Bristol City Council to support MHCLG and the Rough Sleeping and Homelessness Reduction Taskforce (RSHT) to develop a National Strategy to reduce rough sleeping in July 2018.</p> <p>MHCLG has noted that there have been significant recent increases in rough sleeping and have made available £30 million to local authorities (LA's) that have rough sleeping counts above 19, totalling 80 English LAs. The process for applying for grants to assist in making a significant reduction in rough sleeping during the 2018-19 winter was a very short timeframe (just over two weeks). Given the bid timescales, it was not possible to fully comply with the internal protocol for applying for grant funding from Europe or Government and delegated authority to approve the bid was delegated to the Executive Director for Communities.</p> <p>Funding proposals to the Commissioning and Procurement Group where necessary. The projects need to be started in September in order to have an impact in reducing rough sleeping in the coming winter and will be ending in March 2019.</p> <p>Two members of staff from the Homelessness Advice and Support Team (HAST) from MHCLG met with BCC Officers and Preventing Homelessness Service providers to discuss what gaps in services there are in Bristol and what additional resources are needed to make a significant reduction in rough sleeping in the coming winter. The following areas were agreed and submitted in the bid:</p> <ul style="list-style-type: none"> • A move on navigator team to provide assertive support to help people move on from supported housing, 			

including a move on incentives pot for tenants and landlords to facilitate move-on and resettlement.

- Targeted specialist psychological support for high risk clients with high level complex needs relating to Personality Disorder/Complex Mental Health issues, who are 'stuck' in level 1 Pathway services and not engaging in the move on process.
- Extending the Golden Key Housing First programme with housing support for an additional 10 units.
- A post focussing on working with people sleeping rough in known 'hotspots' in the city alongside an outreach drug and alcohol worker.
- An additional winter night shelter with a multi- agency space for in-reach support (St Annes House).
- Intervention at prison release stage to reduce people being released onto the streets and strategic coordination of prison release.
- Project Co-ordination.

MHCLG have confirmed that they will fund all of the above services except the post focussing on working with people sleeping rough in known 'hotspots' in the city alongside an outreach drug and alcohol worker. We aim to seek funding for this from other sources.

Additional funding will also be available in 2019/20. MHCLG will make an announcement on this in due course, following further discussions with local authorities. However, the application also required an understanding of what we would like to do in 2019/20 in order to build on progress of any funded schemes in 2018-19, so an indication was given in our submission to extend the majority of interventions for 12 months to maintain their impact (costed at £745,993).

Recommendations:

That cabinet

1. Notes the successful application for the grant funding from Ministry for Housing, Communities and Local Government (MHCLG).
2. Delegates authority to the Executive Director for Communities to spend the grant in the areas identified in the report in consultation with the Cabinet Member for Housing.

Corporate Strategy alignment: Key commitment to reduce the overall level of homelessness and rough sleeping, with no-one needing to spend a 'second night out'.

City Benefits: The EQIA for the Housing Strategy and the Preventing Homelessness Strategy provides a useful overview. In brief the proposal will assist many rough sleepers to access accommodation and support improving their health and reducing the physical and mental health impact of living on the streets.

Consultation Details: Provider consultation, member consultation, and consultation with the Rough Sleeping Partnership.

Revenue Cost	£n.a.	Source of Revenue Funding	n.a.
Capital Cost	£n.a.	Source of Capital Funding	n.a.
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice: The government announced new funding in March 2018 of £30m to support those Local Authorities where Rough Sleeper numbers exceeded 19 to reduce Rough Sleeper numbers. The government's ambition is to halve rough sleeper numbers by 2020 and end it by 2027. Guidance suggests that successful bids will receive funds to cover costs in 2018/19 with further funding available for 2019/20. It is critical in these programme that funding is recurring for future years, as funding at this stage has only been announced for 2018/19 with the funding available for 2019/20 yet to confirmed. On that basis there is a risk that any services developed to support

the reduction in Rough Sleepers has an exit plan to mitigate costs should funding stop. The multi-agency approach to Rough Sleeper reduction will mean that a range of public sector agencies will support the reduction programme alongside the local authority where the local authority receives the funding. It is not clear at this stage whether the wider public agency support will be provided as a benefit in kind or will be chargeable. None of these issues are reasons not to make the bid but at every stage the short and long term financial implications need to be carefully understood.

Finance Business Partner: Neil Sinclair (11.5.18)

2. Legal Advice: No particular legal issues arise in connection with the bid submission. However if successful, consideration will need to be given to any procurement and/or state issues which might operate in connection with spending the grant. Regard will also need to be had to any conditions attached to the grant.

Legal Team Leader: Eric Andrews, Team Leader, Legal Services (15.5.18)

3. Implications on ICT: The full IT implications in this initiative are uncertain at this stage, with references to personnel and accommodation suggesting that there may be IT provision requirements. These can and should be considered further once detailed implementation of a successful bid commences

ICT Team Leader: Ian Gale (11.5.18)

4. HR Advice: As we may not have suitably experienced employees already in BCC, I would recommend an external recruitment process alongside an internal one for the Support Officer post. We would first need to have job paperwork drawn up and have it evaluated. The position would be offered as a fixed term contract if externally resourced. We should be able to resource the project co-ordination role through internal secondment from ABS.

HR Partner: Chris Hather (11.5.18)

EDM Sign-off	Alison Comley	16.5.18
Cabinet Member sign-off	Paul Smith	14.5.18
CLB Sign-off	Alison Comley	29.5.18
For Key Decisions - Mayor's Office sign-off	Mayor's Office	04.6.18

Appendix A – Summary of Interventions proposed	YES
Appendix B – Details of consultation carried out - internal and external	NO
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	YES
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal 'The environmental impacts of this proposal are not significant and a full Eco IA is not needed.'	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers	NO
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO

Appendix A Summary of Interventions

<ul style="list-style-type: none"> • 	<p>A move-on navigator team</p>	<p>Multi-agency Move-on team to work assertively with Pathway clients to enable moving on, resulting in Pathway placements for rough sleeper referrals. Team will work closely with BCC PRS Sourcing team to increase PRS move on units available for Pathway clients. Additional move-on 'incentives' fund for clients and landlords to facilitate successful moves and access to private rented sector. Examples of incentives for clients are: bus pass, local gym or club membership and practical items for setting up a home (e.g. household furniture & equipment). Incentives for PRS landlords to include: rental deposits, rent in advance, rent top ups.</p>
<ul style="list-style-type: none"> • 	<p>Targeted specialist psychological support for high risk clients</p>	<p>Targeted specialist psychological support, providing short term intensive interventions for high risk clients with high level complex needs relating to Personality Disorder/Complex Mental Health issues, who are 'stuck' in level 1 Pathway services and not engaging in move on process. Service users who have psychological blocks to move on, (for example acute anxiety), or who “sabotage” move on, will be the target cohort in order to maximise move on and free up level 1 units for rough sleepers as quickly as possible. Focus on engagement, building trust, enabling clients to complete the process of moving forward, as well as responding to crisis situations. Post works closely with and assists client engagement with Move on Navigator Team and Support Staff, bringing a coordinated approach.</p>
<ul style="list-style-type: none"> • 	<p>Extending the Golden Key Housing First programme</p>	<p>Housing First expansion with additional 10 units of accommodation, supported by 2 staff providing intensive wraparound support, bringing specialist skills and expertise for complex cohort for whom existing Pathway options are unsuitable. Results in 10 rough sleepers being housed. This second phase will be part of the Golden Key Pilot. Clients will be identified by Outreach and 125 (as under the Bristol Housing First current model), and become newly identified (not existing) Golden Key clients. They will not be SIB clients. We will ensure we don't overlap client numbers with intervention 2. Housing First client identification work will continue, ready for this second phase of the pilot. Significant progress has been made with sourcing the additional 10 accommodation units, with 8 of the 10 already committed by Registered Providers from within their general needs stock. Golden Key will take responsibility for the sustainability and exit strategy for the second phase of the pilot, to ensure Housing First clients have the best chance to sustain their tenancies into the future, long term – we know this is fundamental to Housing First success. As part of this sustainability strategy, we want to work with partners so that Bristol is in the best position to apply for and secure long term funding and to scale up the model in future.</p>
	<p>Working with people sleeping rough in known 'Hotspots' in the city</p>	<p>Additional focus on specific (small no. of named) rough sleeping hotspots and also street activity hotspots where the individuals are either people who are sleeping rough or people with hostel places who are at risk of abandonment/eviction. – managing</p>

Appendix A Summary of Interventions

		hotspots through clear regular hotspot management meeting alongside ROADS and ACE (MH) involvement (then following up actions and chasing up others' actions), targeted monitoring and assessment of the specific hotspots, identify options available for managing hotspots, focused assessments, identify and encourage people to take up routes off the streets or engagement with alternatives to street activity, signposting/referral for ongoing support, liaison with partners (Outreach, supported housing providers, ROADS, MH/ACE, landowners, clear-up via Parks/BWC/landowner. The intervention includes substance misuse/MH focussed work (one of the funded posts).
	An additional winter night shelter with multi-agency space	<p>Winter Shelter Provision - Short-term winter accommodation - with 24 hour access and provision for safe storing of possessions. Use of an empty council office building - initially to provide basic shelter accommodation and multi-agency drop in facilities – e.g for move on navigators, in reach work and Recovery College /volunteer-run activities.</p> <ul style="list-style-type: none"> • 24hr-accessible higher-dependency shelter with belongings storage • For: people sleeping rough who consistently refuse other shelter options, people who regularly get excluded from other shelters, people repeatedly evicted from pathway • Food provision and activities provided by voluntary sector SPSG members to encourage people to stay within shelter
	Intervention & Strategic Coordination at prison release stage	<p>The worker will prevent prison leavers from rough sleeping by: meeting prisoners before they are released; making housing referrals; arranging housing on release / making a plan for housing; meeting them at the gate when they are released; accompanying them to their arranged housing and maintaining contact until they are safely housed. This intervention will prevent 40 people from rough sleeping over 9 months. There will be an immediate impact as partnerships both inside and outside the prison are already in place following a successful 3 year project working with prisoners referred by the substance misuse and mental health teams in Bristol prison. This service housed 50 people a year on the day of release. Partnerships are in place with the CRC - Catch 22, Bristol City Council, One25 (who work at the women's prison); substance misuse and mental health teams in the prison as well as services for rough sleepers (St Mongos) and all homeless pathway providers in the community.</p> <p>Coordination of virtual prison release team. There are 5 agencies involved across 2 prison sites and in the community: Catch 22 at both Bristol and Eastwood park prisons; BCC Housing Advice Team; Prison Liaison Worker at Eastwood Park employed by One25; new worker with Ara as above and St Mungos NFNO funded worker co-located at Bristol prison and BCC customer service point. In addition Ara has applied to the Ministry of Justice for Prison Resettlement workers - decision pending.</p>
	Project	Informed Coordination Role - To take on co-ordination of the

Appendix A Summary of Interventions

	Coordination	implementation phase as soon as the funding is confirmed. Takes on the oversight and monitoring of programme, data collection for analysis and report back to MHCLG.
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RSI Risk Register

Negative Risks that offer a threat to RSI interventions and outcomes (Aim - Reduce Level of Risk)

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date
1	Delay in service starting	Delay in getting staff in place, delay in securing CPG approval for funding/purchasing mechanisms	Risk not meeting targets and outcomes set out in bid	Open	Empowering & Caring	Reputational loss with MHCLG which could affect further funding opportunities.	C Brogan	Vary existing contracts and hold early discussions with Procurement around the Winter shelter. Organisations and BCC primed and putting in place implementation plans for recruitment. Announcement 11th June earlier than original expectation of 30th June.	New	2	4	8	Unknown	1	4	4	Jun-18
2	Delay in opening of Winter Shelter	Delays in planning approval and reconversion work	Risk service not opening in time	Open	Empowering & Caring	Service Provision & Reputational loss with MHCLG which could affect further funding opportunities.	C Brogan	Planning application underway. Good preparation in relation to work needed from early site visit and information from BCC relatin to the building.	New	3	4	12	Unknown	2	4	8	Jun-18
3	Rise in rough sleeping	Other factors increase rough sleeping figures despite interventions.	Rise in or no noticeable reduction in rough sleeping	Open	Empowering & Caring	Reputational loss with MHCLG which could affect further funding opportunities.	C Brogan	Track all outputs and outcomes of monitored services (through MHCLG funded post) and ensure all subsequent pathway bed spaces made to rough sleepers to clearly demonstrate impact of funding. Continue to monitor overall levels of rough sleepers in the city (annual level rather than nightly	New	3	4	12	Unknown	2	4	8	Jun-18

4	Increase in Part VII single households in spot purchased accommodation.	Prioritising supported housing bed spaces for rough sleepers	Increasing use of spot purchased accommodation for single people.	Open	Empowering & Caring	Financial loss.	C Brogan	Services should be increasing move on through the pathways and increase take-up of private sector tenancies. Also seeking to increase 'meanwhile' use properties in BCC properties for people with no or low support needs.	New	3	4	12	£35 per person per night.	2	4	8	Jun-18
5	Expectation that services should continue at end of funding period.	Services successful and seen as essential.	Increase in rough sleeping.	Open	Empowering & Caring	Service provision.	C Brogan	Good indication that 2019-20 funding submitted in bid will be successful. Consider exit strategies as part of implementation and consideration of absorbing function into mainstream services if particularly effective.	New	2	3	6	Unknown	1	3	3	Jun-18

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.



What is the proposal?	
Name of proposal	RSI Targeted funding 2018-19 bid
Please outline the proposal.	Approval to spend grant funding from the Ministry of Housing Communities and local Government (MHCLG) for additional resources to reduce rough sleeping in the City in the winter of 2018-19.
What savings will this proposal achieve?	The total grant funding is likely to exceed £500,000
Name of Lead Officer	Carmel Brogan

Could your proposal impact citizens with protected characteristics? (This includes service users and the wider community)	
Please outline where there may be significant opportunities or positive impacts, and for whom.	
<p>This grant funding will benefit rough sleepers in Bristol. During the period from 1st Jan 2017 – 31st Dec 2017, there were 773 people who were rough sleeping in the city who were worked with by the Rough Sleeper Service. Of these 78% had UK nationality and 22% had non-UK nationality either from EEA countries or the rest of the world. <u>Disability</u>: Disabled people including those with learning difficulties and disabilities, and mental health problems are over-represented in rough sleepers. Although not a protected characteristic many rough sleepers have substance misuse problems and may have undiagnosed psychosis face other physical and psychological barriers to accessing support services.</p> <p><u>Race and nationality</u>: We know that BME people are over-represented in homelessness prevention services but do not have accurate details of BME representation amongst rough sleepers in Bristol. There has been an increase in migrant rough sleeping and 32% of Bristol rough sleepers have a nationality other than UK with over 40 nationalities represented (2017)</p> <p><u>Sex</u>: Males are over-represented in rough sleeping and in homelessness prevention services</p>	
Please outline where there may be significant negative impacts, and for whom.	
There are no identified negative impacts for people with protected characteristics from this proposal.	

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.
None identified – additional resources may require additional internal or external recruitment.
Please outline where there may be negative impacts, and for whom.
None 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: <ul style="list-style-type: none"> • 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. At this stage the proposal is to gain additional resources to reduce rough sleeping by extending our current approaches. We have existing EqIAs for the Housing Strategy and the Preventing Homelessness Strategy
Service Director sign-off and date:  Pam Wharf 08/06/2018	Equalities Officer sign-off and date:  Duncan Fleming 8/6/2018

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Procurement of Household Goods and Emergency Payment suppliers in respect of the Local Crisis and Prevention Fund (LCPF)		
Ward(s)	All		
Author: Matthew Kendall	Job title: Benefits Technical Manager		
Cabinet lead: Cllr Cheney	Executive Director lead: Denise Murray		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report: Approval to go out to full tender for replacement household goods (£500k p.a.) and emergency payments (£200k p.a.) contracts			
Evidence Base:			
<p>LCPF administers applications from c8000 low income households in crisis/emergency need, requiring either household good(s) and/or short term one off emergency payments. Both are paid as a grant and assist successful applicants to move from often expensive temporary or supported accommodation in to more secure, but unfurnished, secure tenancies and/or with food and fuel poverty via a supermarket voucher that can also be used at PayPoint terminals.</p> <p>Both of the existing LCPF contracts (household goods and emergency payments) expired at the end of April 2018 and were subsequently granted a further 6 month 'waiver' until the end of September 2018 in order to find a fully compliant replacement contract on-going.</p> <p>LCPF is working with Procurement and other related specialist services in order to successfully carry out this tender process, in order for new effective and efficient supplier contracts to be fully in place by October 2018.</p> <p>The two proposed contract terms are for two and half years (Oct 2018 – March 2021) with possible two year extension (April 2021 – March 2023). The values are as below;</p> <ul style="list-style-type: none"> • Emergency Payments: £200k p.a x 2 ½ years = £500k with a possible £400k extension. • Household Goods: £500k p.a x 2 ½ years = £1.25m with a possible £1m extension <p>LCPF has already run two supplier information days and is in the final stages of completing the Information to Tender (ITT) and Specification documents. It is also working with Legal in order to finalise the terms and conditions.</p> <p>A high level procurement timetable is as below.</p>			
Activity		Deadline	
Tender Issued (ProContract)		20 th June 2018	
Clarification Deadline		14:00 12 th July 2018	
Tender Deadline		14:00 19 th July 2018	
Contract award and implementation commencement		w/c 20 th August 2018	
Contract starts		1 st October 2018 – 31 st March 2021	

Recommendations:

That Cabinet

1. Approve the recommissioning of the household goods and emergency payments services on the basis of 2.5 pps for 2 years.
2. Delegates authority to the Executive Director for Resources in consultation with the Cabinet Member for Finance, Governance and Performance to procure and award the necessary contracts.

Corporate Strategy alignment:

‘Tackle food and fuel poverty’ –by assisting households with no/low income, in crisis, in a timely and efficient manner, by supplying either essential household goods and/or emergent payment grants and in accordance with the LCPF policy.

‘Reduce the overall level of homelessness and rough sleeping, with no-one needing to spend a ‘second night out’ – by increasing the speed of move on from homeless accommodation in to more secure and cheaper accommodation.

City Benefits:

The successful award of these contracts will the allow the suppliers, on behalf of Bristol City Council, to assist low income families with food and fuel poverty as well as more rapid move on, where inability to acquire furniture which would otherwise inhibit this.

The payment of emergency grants (with wrap around support) alongside the provision of essential furniture will have positive impacts on reducing inequality and improving health and sustainability.

Consultation Details:

Two supplier information days have been delivered to potential suppliers identified through soft market testing and the tender will take place via ProContract in the usual approved manner.

Revenue Cost	N/A	Source of Revenue Funding	N/A
Capital Cost	£ N/A	Source of Capital Funding	N/A
One off cost <input type="checkbox"/>		Income generation proposal <input type="checkbox"/>	
Ongoing cost <input type="checkbox"/>		Saving Proposal <input type="checkbox"/>	

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice:

This paper requests permission to tender for two new suppliers for household goods and for emergency payment ‘vouchers’ in respect of the Local Crisis and Prevention Fund. The current contracts expire at the end of April 2018 and have been granted a 6 month waiver to the end of September 2018 to allow for the opportunity to find fully compliant replacement contracts for the 2.5 years thereafter (Oct 2018-March 2021).

These two new contracts will constitute a combined c£700k p.a. spend over the 2.5 year period, thereby meeting the Council’s key decision criteria (>£500k) for approval by Mayor and Cabinet.

It is confirmed that Local Crisis and Prevention Fund approved budget for 18/19 is sufficient to meet the annual costs of these contracts.

Finance Business Partner: Jemma Prince – Finance Business Partner – 19/3/18

2. Legal Advice: These should be treated as 2 separate contracts and procurements, one for the provision of household goods and the other for the provision of emergency payment vouchers.

Both of these contracts are above the relevant threshold for goods and services and so should be procured via an EU compliant process in accordance with the Public Contract Regulations 2015, in addition to the Council own Procurement Rules.

Procurement and Legal advice should be sought to ensure a compliant process is undertaken and suitable contracts used.

Legal Team Leader: Eric Andrews Team Leader 22/3/18

3. Implications on ICT: None

ICT Team Leader: N/A		
4. HR Advice: No anticipated HR implications		
HR Partner: Celia Williams, HR Business Partner – 20/3/18		
EDM Sign-off	Denise Murray	28/3/18
Cabinet Member sign-off	Cllr Cheney	9/4/18
CLB Sign-off	Jacqui Jensen	17/4/18
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4/6/18

Appendix A – Further essential background / detail on the proposal	NO
Appendix B – Details of consultation carried out - internal and external	NO
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers	None
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO

Appendix E – Equalities screening / impact assessment of proposal

Bristol City Council Equality Impact Assessment Form

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

Name of proposal	Procurement of Household Goods and Emergency Payment suppliers in respect of the Local Crisis and Prevention Fund (LCPF)
Directorate and Service Area	Neighbourhoods
Name of Lead Officer	Matthew Kendall

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.

<p>1.1 What is the proposal?</p> <p>LCPF administers applications from c8000 low income households in crisis/emergency need, requiring either household good(s) and/or short term one off emergency payments. Both are paid as a grant and assist successful applicants to move from often expensive temporary or supported accommodation in to more secure, but unfurnished, secure tenancies and/or with food and fuel poverty via a supermarket voucher that can also be used at PayPoint terminals.</p> <p>Both of the existing LCPF contracts (household goods and emergency payments) expired at the end of April 2018 and were subsequently granted a further 6 month 'waiver' until the end of September 2018 in order to find a fully compliant replacement contract on-going.</p> <p>LCPF is working with Procurement and other related specialist services in order to successfully carry out this tender process, in order for new effective and efficient supplier contracts to be fully in place by October 2018.</p> <p>The two proposed contract terms are for two and half years (Oct 2018 – March 2021) with possible two year extension (April 2021 – March 2023). The values are as below;</p> <ul style="list-style-type: none"> • Emergency Payments: £200k p.a x 2 ½ years = £500k with a possible £400k extension. • Household Goods: £500k p.a x 2 ½ years = £1.25m with a possible £1m extension

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.

<p>2.1 What data or evidence is there which tells us who is, or could be affected?</p> <p>A breakdown of current awards that the serviced by the contractors on behalf of LCPF are as below.</p> <p>Emergency Payments</p> <ul style="list-style-type: none"> • Gender <ul style="list-style-type: none"> ○ Male/Female = 48/52% • Age <ul style="list-style-type: none"> ○ under 25 = 15% ○ 25 – 34 = 32% ○ 35 – 44 = 27% ○ 45 – 54 = 19% ○ 55 – 64 = 7% ○ 65+ = 0%

- Household composition (percentages rounded)
 - Single = 58%
 - Single parents = 27%
 - Childless couples = 4%
 - Couples with children = 10%
- Ethnicity
 - White = 75%
 - Asian (or variation of) = 2%
 - Black (or variation of) = 11%
 - Mixed (or variation of) = 6%
 - Other = 6%

Household Goods

- Gender
 - Male/Female = 39/61%
- Age
 - under 25 = 19%
 - 25 – 34 = 35%
 - 35 – 44 = 24%
 - 45 – 54 = 14%
 - 55 – 64 = 6%
 - 65+ = 2%
- Ethnicity
 - White = 65%
 - Asian (or variation of) = 4%
 - Black (or variation of) = 16%
 - Mixed (or variation of) = 7%
 - Other = 8%
- Disability
 - Mental health = 13%
 - Learning difficulties = 2%
 - Physical = 21%
 - Long term health = 3%
 - Visual impairment = 1%
 - None = 60%

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

Yes, information around awards made to LGBT and Religious Beliefs is not collected/available.

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

The procurement approach will be circulated to relevant suppliers in the normal procurement compliant process via ProContract.

In addition these changes are advertised via a newsletter that circulates on a monthly and quarterly basis (dependent on the stakeholder) that informs relevant stakeholders of the up to date position and future developments of LCPF.

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 do not anticipate that the reprocurement process will have an adverse impacts on people with

proposed characteristics. Bristol City Council administers the application process and promotion of the LCPG and this is outside the scope of this recommissioning project.

Recipients of LCPG in Bristol are socio-economically advantaged and we know that some equalities groups are over-represented. 25% of recipients of emergency payments and 35% of household goods are non-White British compared to 16% for the Bristol population overall.

Recipients of emergency payment grants are often young and single people, including many with physical and mental health disabilities. Recipients of household goods awards are often females who may have large families, including a large number with additional protected characteristics including disability. This is also true of households leaving care and trying to sustain a tenancy.

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

As this service requires working closely with citizens (including visiting their homes to deliver and install household goods) we need to ensure that the successful provider is able to work well with diverse and complex service users.

As part of the tender process will require potential providers to demonstrate that they will operate in accordance with the Equality Act 2010 and the s.149 Public Sector Equality Duty. We will also ask potential providers about their service delivery model, safeguarding policy etc.

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

Yes – continuation of the fund is reliant on finding new/continuation of suppliers.

3.4 Can they be maximised? If so, how?

Yes – 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?

This EqIA has highlighted the need for us to use the re-procurement of this service to ensure that the supplier of Household Goods and Emergency Payments is competent to work with equalities groups

4.2 What actions have been identified going forward?

Ongoing monitoring of measures in section 4.3 below

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

Measure where any potential impact could be measured as below;

- Additional applications to LCPF
- Additional awards of Emergency Payments and/or Household Goods
- Additional calls/visits to the Benefits Service CSC/CSP
- Less calls/visits to the advice sector/charities/foodbanks

Service Director Sign-Off:  Patsy Mellor	Equalities Officer Sign Off:  Duncan Fleming
Date: 13/6/18	Date: 13/6/2018

Appendix F – Eco-impact screening/ impact assessment of proposal



Eco Impact Checklist

Title of report: Procurement of Household Goods and Emergency Payment suppliers in respect of the Local Crisis and Prevention Fund (LCPF)				
Report author: Matt Kendall				
Anticipated date of key decision: 3 rd July 2018				
Summary of proposals: The proposal is to tender for a replacement contract for emergency payments grants (in order to grant low income households with assistance to buy food or pay utility bills) and/or essential household goods (e.g. white goods and beds).				
Will the proposal impact on...	Yes/ No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	No			
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	Yes	+ive	Include within the contract/ tenders that energy efficient appliances will be procured, ideally with A or above energy efficiency ratings.	
Production, recycling or disposal of waste	Yes	+ve	The procurement of the household goods contracts allows for new and or recycled/ graded household goods. Where old household goods will be disposed of ensure they are disposed of correctly according to WEEE waste regulations where applicable.	
The appearance of the city?	No			
Pollution to land, water, or air?	No			
Wildlife and habitats?	No			
Consulted with: Relevant procurement and legal needs as well as open day with potential suppliers.				

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

The impacts of this proposal are minimal.

The proposals however do include a proposed tender to include reused/recycled household goods, as well as new one to mitigate any environmental impact and an opportunity to purchase energy efficient appliances where possible.

Checklist completed by:

Name:	Matt Kendall
Dept.:	Benefits Service
Extension:	07775 538799
Date:	8 th June 2018
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	IT Future State Assessment		
Ward(s)	None		
Author: Steve Somerfield	Job title: Director of IT (Interim)		
Cabinet lead: Cllr Cheney	Executive Director lead: Denise Murray		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
<p>Purpose of Report: This report details the components needed to build on the current IT platforms and ICT service delivery to ensure a modern, secure, flexible and service-aligned IT service in support of the Corporate Strategy and business drivers/outcomes.</p>			
<p>Evidence Base: Over the past four months the Interim Director of IT has been undertaking a comprehensive root and branch review of the IT service to baseline the service performance and capability, as well as reviewing the technologies in use across the organisation. The Future State Assessment (FSA) review of IT has uncovered a number of areas where improvements can be made that will better support the ambitions of the organisation going forward as well as being able to better support service re-design activities underway across the organisation.</p> <p>IT is used extensively across the whole organisation and its performance greatly impacts how the organisation can operate. Legacy systems are now proving to be restrictive for the business from Elected Members to Children, Adults, Housing and other services the council provides. It is vital we maintain appropriate focus on the core essentials of an IT service to ensure it is fit for purpose and provides appropriate functionality to all areas of our organisation.</p> <p>We have worked closely with an independent agent, namely PwC, to provide a systematic and comprehensive review of the IT function, its capacity and capabilities and the systems in use today. This review has then gone on to identify what areas need improvement and change. The outcome of this work has been to develop an updated IT strategy that aligns to the business needs now and into the future. Additionally, this review has developed both a new Target Operating Model for IT as well as a transition programme aimed at bringing our systems up to date.</p> <p>The IT strategy, the target operating model and the technology and service transition plan has been created along with the costs and benefits associated with the delivery of the programme. The costs to achieve this improvement programme exceeds the limits delegated to senior officers so we are now seeking consultation and approval by Cabinet to proceed in the delivery of this essential programme.</p>			
Recommendations:			
That Cabinet:			
<ol style="list-style-type: none"> 1. Approves the council’s IT Strategy, IT target operating model and the technology and service transition plan as set out in the report. 2. Approve an additional £7.3m to be incorporated into the Capital Programme over the period of the Medium Term Financial Plan, and transferred from the Council’s corporate capital contingencies. 3. Assign £5.1m revenue resources over the period 2018-2021 as factored into the Medium Term Financial Plan 			

for delivery of the Council's transformation programmes.

4. Delegate authority to the Director IT in consultation with the relevant Cabinet Member and Chief Finance Officer to take all decisions to implement the IT Strategy and Target Operating Model up to the value of £500k for each decision.

Corporate Strategy alignment:

The Corporate Strategy identifies a need to work with back office services to identify what needs to change to be a more effective and efficient council to achieve our priorities (p7). The FSA and resulting IT Strategy is a core component of this, particularly contributing to two of the four Organisational Priorities outlined in the Corporate Strategy (p11):

- Redesign the council to work effectively as a smaller organisation
- Equip our colleagues to be as productive and efficient as possible

IT underpins all the council's work and, with a strategy that encompasses the council's outward-facing approach to digital, directly contributes to the Key Commitment of 'Make progress towards being the UK's best digitally connected city'.

City Benefits: There are no specific or direct benefits to the city however this service improvement programme supports the wider organisation's ability to deliver commitments in the city; there are no identified equalities impacts.

Consultation Details: No consultation is considered necessary.

Revenue Cost	£ 7.2m (Over 3/5 years)	Source of Revenue Funding	Reserve funds, service revenues realignment and service incremental growth bid.
Capital Cost	£ 13.1m (over 3/5 years)	Source of Capital Funding	Capital receipts and reserve funds
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/IT/ HR partners:

1. Finance Advice:

The report seeks approval to the IT strategy, target operating model, and approach to delivery as set out in the Future State Assessment appended to this report. This major transformation programme could deliver long term savings for the Council, however these will need to be re-assessed as business cases for each of the major improvement areas are developed. A number of key elements of the improvement plan will need to be brought back to Cabinet for approval.

The improvement programme will require significant additional capital and revenue investment to deliver, much of which represent essential improvements to the IT infrastructure, and which failure to improve and rationalise could expose the council to additional financial risk. That total investment, above existing capital and revenue budgets represents some £12.4m over the period of the current Medium Term Financial Plan.

With regard to the additional capital investment, £7.3m is sought above that set down in the capital programme approved by Full Council in February 2018. The likely profiling of that would be as set out in the table below, although these will be subject to review as part of the refresh of the Medium Term Financial Plan, capital programme and detailed business cases for each of the interventions set out in appendix B;

2018/19	2019/20	2020/21	2021/22	2022/23	Total
£000	£000	£000	£000	£000	£000
455	2,772	2,067	995	1,000	7,289

The capital programme incorporates corporate contingencies to the value of £49.2m over the 5 year period to 2023, and these would need to be reduced correspondingly in order to maintain within the Council's medium term financial strategy of no additional borrowing unless a clear investment return. Cabinet will need to be mindful of other potential capital investment calls on a reduced level of contingencies, including major infrastructure projects.

The report also seeks approval of some £5.1m revenue resources over the next 3 years to ensure delivery of the programme, whilst ensuring ongoing business requirements are maintained. £1.1m is required in the current financial year, and this is factored into existing resourcing assumptions utilising flexible use of capital receipts as agreed in the budget as approved by Council. Further resources, over the subsequent 2 years, will require reprioritisation of remaining resources for this programme of works within the resources assumed within the Medium Term Financial Plan, again primarily funded through flexible use of capital receipts. Whilst these costs can be contained within current resource assumptions, it will severely restrict the ability to fund investment required for other transformation programmes other than through additional savings.

Finance Business Partner: Chris Holme, 25th June 2018

2. Legal Advice: The FSA encompasses a wide range of initiatives, including procurement requirements, in relation to which specific legal advice and assistance should be sought in due course. In particular, every time the Council procures goods works or services over certain financial thresholds, it will need to comply with either the Council's Procurement Rules or the Public Contracts Regulations 2015 unless an exemption is available. The relevant officers will need to ensure that these obligations are met. Key areas for consideration following a review of the Digital Strategy and FSA pack slides prepared by PwC have been identified below and advice should be sought on these issues at the appropriate time. Legal advice may also be needed in relation to other aspects and the relevant officers should ensure this is obtained as the project progresses.

- Advice should be sought from HR and Legal Services in relation to the service redesign.
- The shift to the cloud will result in greater reliance on supplier standard terms and conditions and SLAs, which may need to be compensated for through the development of suitable council boilerplate / minimum terms that incorporate the supplier terms e.g. the G-Cloud model;
- The improved contract management framework may need to be facilitated through improved handover of legal documentation to contract owners e.g. identification of key terms, risks, notice periods etc;
- Legal and Data Protection Officer input should be sought in relation to the development of the key Bring Your Own Device policy, particularly in relation to key areas such as security rules, council access to personal devices, removal of data (including when the employee leaves), and possibly compensation for use of own device / upgrades etc;
- DPO consultation and, where appropriate, legal advice should also be sought in relation to setting up a council wide CRM system e.g. lawful processing and controlling rights of access to personal data etc;

Legal Team Leader: Sinead Willis (Solicitor Legal) 31st May 2018

3. Implications on ICT: FSA programme has been developed using independent PwC support and provides both a comprehensive picture of technology and process change needed to support the wider organisation in the delivery of services. Technology changes at a rapid rate and over time, the technologies in use by the council have become dated and some elements are now unsupported by suppliers. Additionally, new technologies allow new ways of working that at present remain out of reach with the current systems. Upgrading our systems will help to release new capabilities such as the mobilisation of social workers and housing support staff into our communities. More effective use of technologies will also help to improve our system security against cyber threat which is currently at its highest threat level for some time. Use of cloud-based systems will also help to reduce the need to continually refresh server-based systems over time providing a more effective and efficient core platform to support the wider business in its day to day service delivery. The next steps, subject to approval to proceed and the release of appropriate funds, will be to develop outline and detailed business cases for each project highlighted in the FSA programme to ensure we manage delivery effectively.

ICT Team Leader: Steve Somerfield – IT Service Director (Interim) 25th June 2018

4. HR Advice: The proposed Digital Strategy has substantial workforce and operational implications requiring the re-design of the service. The service should equip staff with the skills the Council requires in the future in order to mitigate the need for redundancies. Additional, temporary resource should be procured via Guidant (the Council's existing managed service provider) and should only be used to provide skills that will not be needed in the long-term or to bolster capacity in the short-term/while current staff develop the required know-how. Leaders in the service should encourage and facilitate the career development of existing staff as part of the change programme. Redundancy should be the last resort and voluntary severance should only be used in a targeted way where it is mutually-acceptable and alleviates the need for redundancy selection processes. HR will advise and support the programme, which will be clearly led and managed by the service.

HR Partner: James Brereton (People & Culture Manager), 23rd May 2018

EDM Sign-off	Denise Murray	23.05.2018
Cabinet Member sign-off	Cllr Craig Cheney	24.05.2018
SPB Sign-off	Cllr Craig Cheney	24.05.2018
For Key Decisions - Mayor's Office sign-off	Mayor's Office	04.06.2018

Appendix A – Further essential background / detail on the proposal Further detail also contained within the BCC FSA Pack 31.05 – Cabinet report in appendix B	YES
Appendix B – Details of consultation carried out - internal and external	YES
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	YES
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal “The environmental impacts of this proposal are minimal and as such a full eco IA is not needed. A full Eco IA has been produced for the migration of IT services to a cloud-based system, please refer to this in the event of these works taking place. The introduction of new hardware will likely cause a slight improvement as it will be more modern and efficient. ”	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice Legal advice within this report	NO
Appendix I – Combined Background papers Combined appendix A & B	None
Appendix J – Exempt Information	NO
Appendix K – HR advice HR advice within this report	NO
Appendix L – ICT This is an ICT programme and is supported.	NO



IT Strategy 2018 - 2023

**Delivering services
that our users and
citizens expect and
deserve**





Councillor Craig Cheney

Foreword

Page 230

Delivering the level of digital services that our users and citizens expect and deserve

As the leading Smart City in the UK Bristol citizens and users of our services rightly expect a digital experience comparable to other areas of their lives.

For many people accessing services online, outside of office hours is often the only way to get things done in today's busy world. This doesn't mean that those citizens who can't or don't want to access services online should be left behind, quite the opposite. Excellence in digital service delivery frees up staff to be able to spend more time answering phones and conducting face to face meetings in order to support people more effectively.

In Bristol we are in a truly unique position to bring our innovative culture to a **digitally literate demographic** whilst remaining mindful of those not comfortable in a digital world. The digital agenda provides a new lens through which major city and city council challenges may be addressed.

As described in our **Corporate Strategy** the way in which the council will interact with its citizens will need to change, delivering quicker and better outcomes, helping the council to be more efficient whilst making things easier for citizens.

Our digital ambitions have a critical part to play in achieving the future vision of a council that **encourages inclusion, independence and enablement of all its citizens.**

Our digital implementation plans over the next five years are carefully designed to achieve the right balance of **minimising operations cost whilst maximising the quality and effectiveness of our services.**

It is difficult to foresee how technology will evolve beyond 2023. However, we do know that **the services today's council provides will fundamentally change through the use of innovative, life-changing technology.** We aim to create a digital environment for the future generations of our citizens.

Our digital aspirations over the coming years will be underpinned by four critical digital ambitions:

1. Improving our digital capability

We have already made significant strides in upskilling our internal digital teams in new world technologies and ways of working. However, there is more to be done in accelerating this capability and **broadening digital skills across both the wider council and its citizens.**

2. Accelerating channel shift

Fewer people need to waste time visiting or calling us where we have invested in new, digital, citizen-facing services, notably Waste Services, Council Tax and Rent Management.

In providing this we have improved the responsiveness, availability and usability of services by up to 25%. **By 2023 we aim to ensure the same or better level of digital presence in all core council services.**

3. Working smarter

We have a real opportunity to consolidate, standardise and simplify our current technology estate. Improved integration and connectivity between our core services and more streamlined processes will **unlock significant efficiencies and direct funds to frontline service delivery.**

4. Building on a culture of innovation

We are proud of our reputation as the UK's leading Smart City. Our achievements are due to the creative talents of our people, our unique third party collaborations and a community of citizens that embrace change... **the perfect environment to support our digital ambitions in the future.**

Principles of our approach

Page 231



An innovative mindset

We want a council that is configured for continuous digital change. Core IT in partnership with the business underpins the development of new digital services, curated using the best sources of external innovation.

80% of today's CEOs believe digital disruption is imminent, and almost half think their business model will be obsolete by 2020.

(Harvard Business Review Analytic Services Survey, Competing in 2020)

Better by design

We will design digital services that are user and citizen centric.

The number of services delivered digitally in the Public Sector had increased by 37%. Moreover, this is expected to grow by 140% over the next three years.

(GOSS 'Digital Self-Service in the Public Sector' report 2016.)



Getting IT right

We want a simpler, safer and more efficient core service, taking out the complexity and risk of outdated, unsupported 'legacy' IT.

We have already realised significant benefits from replacing old, unsupported services for new world equivalents.



Flexibility in the way we commission digital services

We will move to a multi-vendor, cloud-based, digital ecosystem, reducing in-house support costs and creating the flexibility we need to meet our digital ambitions.

Between 2016 and 2020, IT organisations will decommission more than three times the number of applications they have decommissioned since 2000.

('Decommissioning Applications: The Emerging Role of the Application Undertaker'. Gartner)



Unlocking the power of data

We will mine richer data sets, crucial to us in improving frontline services and providing valuable, transparent information to our citizens.

Data will be a driving force in transforming the role of the council and its understanding of city needs.



Strategic Theme 1

Improving our digital capability

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Technology alone cannot meet the digital expectations of today's citizens. It must be coupled with an organisational structure and mindset that embraces digital innovation

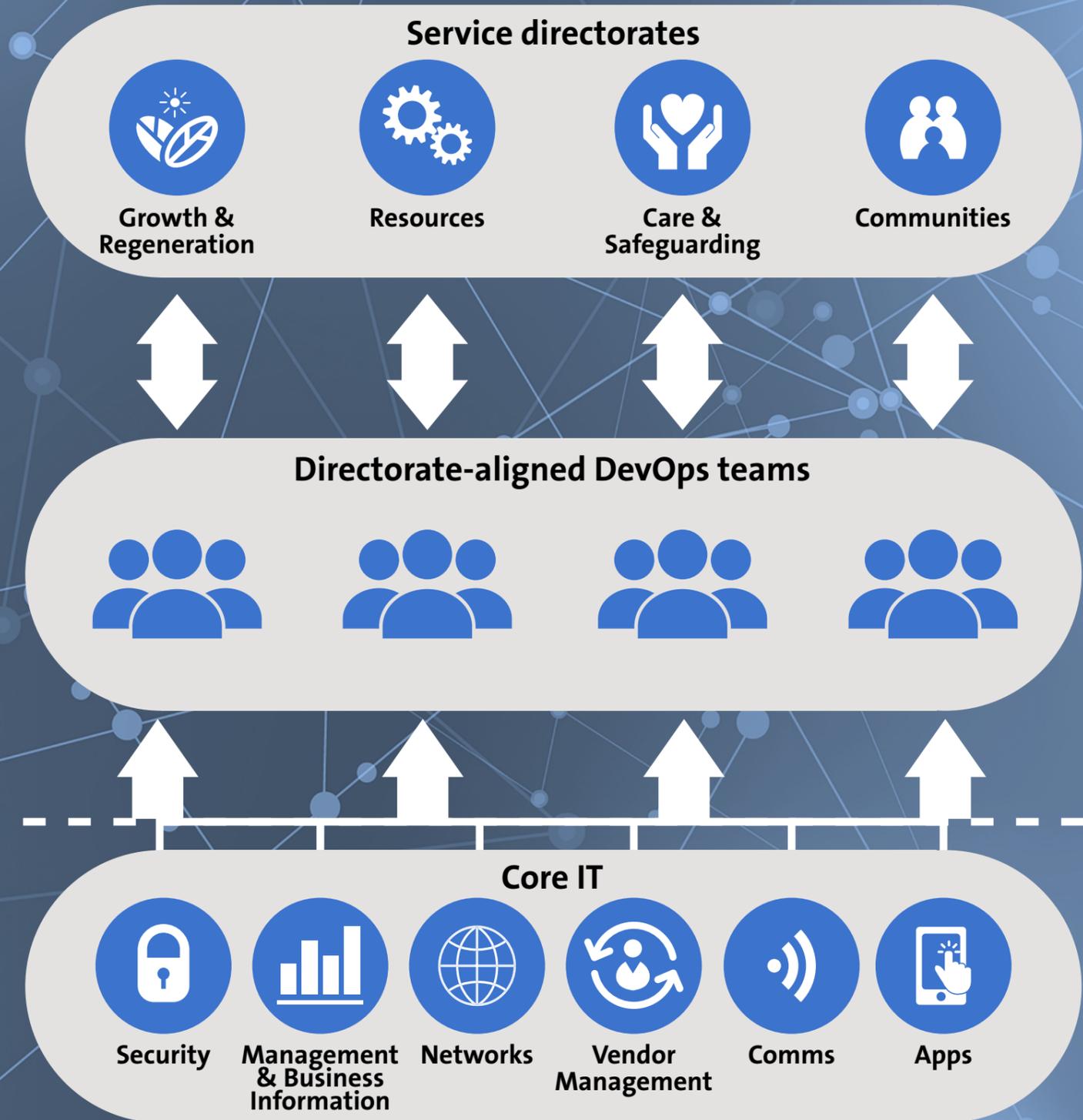
Citizen expectation of digital services has and will continue to increase significantly. Simply adding a digital channel to an offline process is no longer sufficient to meet the demands of a culture used to 24/7 access to online forms of entertainment, commerce, knowledge, communication and social interaction.

We want to provide services that are easier to use than any other available option, with digital channels designed with full availability and accessibility in mind.

Moving to 24/7 digital-based service offerings will allow the council to offer life-changing services to its citizens while fulfilling the needs of austerity and efficiency.

To achieve this we will:

- Align the ways of working and capability across the wider council with the pace of digital change required over the coming five years
- Couple deep technical understanding with line of business expertise on a day-to-day basis to exploit how emerging technologies can fundamentally change the way the council addresses citizen need
- Establish blended teams where technical and business leaders are driving digital change at the frontline
- Have a collaborative cloud based environment that enables our staff and partners to work together seamlessly regardless of their role or working patterns
- Move to an environment where technology is an enabler and tools and services are consistently available anywhere on any device
- Foster a culture in which all business change should be considered through a digital lens
- Deliver change incrementally, continuously assessing against strategic principles and outcomes



Strategic Theme 2

Accelerating channel shift

Page 233

By 2023 we will provide digital channels for all core council services

Our implementation plan requires new ways of working across the entire organisation and an improved technology infrastructure to enable faster-paced, strategic digital change over the next five years.

We are moving to an operating model in which digital skills are embedded across the council. Processes are flexible and are fit to evolve quickly, and our underlying tooling and systems are designed to be extensible, consuming the right solution for the task.

To achieve this we will:

- Put user experience and customer focus at the heart of the design and evolution of our services and design new services to be fully digital from the start
- Where channel shift has been successful we will phase out more expensive, non-digital alternatives
- Monitor channel shift uptake and measure customer satisfaction with our digital provisions as a fundamental part of what we do
- Make it a priority to understand and resolve why certain users continue to use non-digital methods of engagement
- Embed digital inclusion and digital assistance skills/support in all new digital services to ensure none of our users or citizens are left behind
- Move towards a single view of the citizen. We want our citizens to be able to view and interact with the council via an easy-to-use, standardised interface
- Re-focus the council's social media presence, making it a mainstream service channel to better connect with our citizens, whilst retaining suitable corporate ownership and oversight of its use as an official communications channel



Working smarter

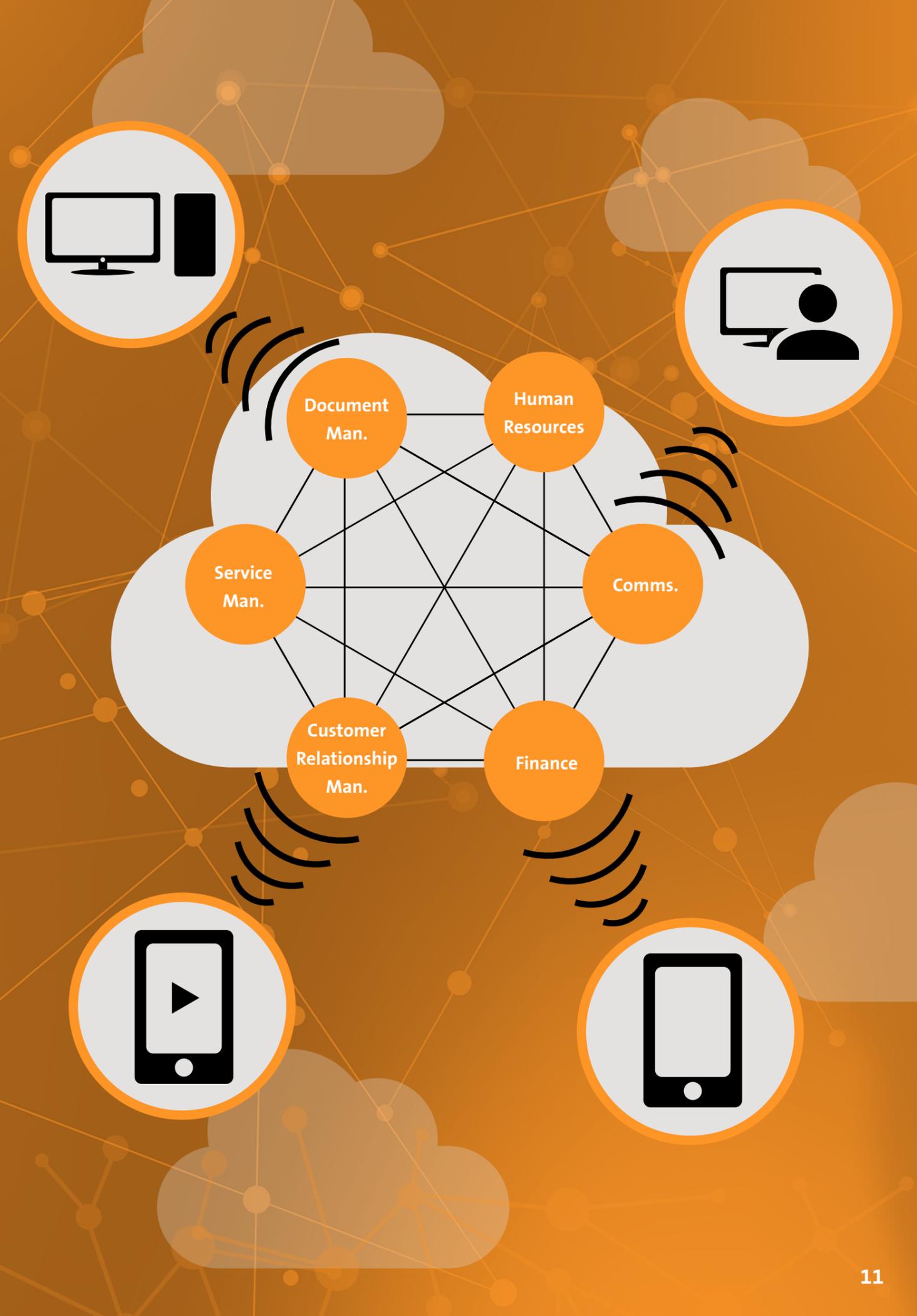
Transformational shift in the way we access council services

In the overall context of reduced council funding and increased pressure on frontline services, our digital ambitions will play a critical role in streamlining core functionality and transforming more expensive, manual processes into efficient digital alternatives.

Our strategic plans will enable anywhere, anytime access to an integrated ecosystem of flexible, individual, cloud-based solutions. These solutions will be integrated and protected by their own, content-appropriate security layer.

To achieve this we will:

- Consolidate, simplify and standardise the existing legacy estate
- Transition to a cloud based infrastructure that can be consumed on-demand
- Standardise core business systems e.g. Customer Relationship Management, Document Management etc.
- Integrate services via robust Application Programming Interfaces and a common Identity and Access Management (IAM) solution
- Accelerate use of self service alternatives in parallel with new digital service design
- Remove the need for manual processes and intervention through more integrated cross-service applications
- Consider total cost of ownership as part of all digital change
- Decommission legacy systems and processes by default
- Adapt business process to accommodate digital innovation, not create onerous digital solutions to address current business practice
- Enable council colleagues to use their own devices where possible, connecting easily over the open internet



Strategic Theme 4

Building on a culture of innovation

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Creating an environment fit for a new breed of digital services

We are proud of our track record in innovation, particularly in the establishment of our sector-leading Operations Centre and ground breaking technology collaboration with third parties.

We want to use advances in technology to transform the lives of our citizens through our city-wide digital ambitions. To enable these we need to fundamentally change the way we work internally, how we interact with the outside digital community, and provide underlying technology platforms with the flexibility to support this ambitious agenda.

To achieve this we will:

- Provide a strong technology platform to underpin the council's city-wide digital agenda
- Work more closely with our strategic partners in a wider digital context. Our aim is to turn today's ground breaking technology into tomorrow's business-as-usual services for our citizens
- Implement a loosely coupled services architecture where innovations can be trialled and iterated quickly, responding effectively to user feedback and changes in the industry
- Maintain our position as the leading UK Smart City by horizon scanning beyond the public sector to identify upcoming areas of innovation and learn from best practice implementation across industry
- Benefit from new ways of working that bring together technology and citizen services to design change
- Support digital innovation that changes the lives of the most vulnerable, for example enable those who require care to stay in their homes for longer should they wish



University of
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ENGINE SHED

WEST OF ENGLAND
Combined Authority

BATH & NORTH EAST SOMERSET
BRISTOL
SOUTH GLOUCESTERSHIRE



BRISTOL
Operations Centre

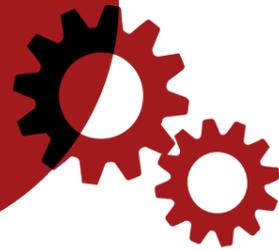
Our technology initiatives

Our technology initiatives have been designed to achieve the strategic objectives outlined above over the next five years to 2023



Technology initiatives & outcomes

1. Ways of Working and Digital Capability



Overview



We will redefine our current ways of working across the council to create an environment where digital is at the heart of our business. We recognise that technology needs to be embedded in our frontline service delivery to truly transform the experience that we offer our citizens.

Our new ways of working focuses on citizen need and must acknowledge that not all users and citizens have grown up using digital technology or have access to digital services. Our technology offerings will be complemented with the right support and training to allow as many of our users to use a digital channel even if they would normally struggle to do so.

The right skills required to successfully implement this digital culture shift will therefore play a critical role over the coming years if the council is to achieve its digital ambitions.

Target



By 2023 digital skill will be embedded within the council's citizen-facing service teams. This will be supported by council-wide ways of working and associated governance that is agile, user centric and fit for purpose to deliver innovative digital change.

Skill gaps will be addressed including support and training in new technology and delivery methods. We will work with external parties to achieve a specialist but flexible digital skillset within the context of austerity.

Innovation will be part of everything we do, as it is only then that we can truly use digital solutions to transform the lives of citizens. Greater leveraging of our successful city wide innovation programme will bring innovative solutions to citizens at the right pace.

2. Cloud Migration



Overview



We will fully embrace a cloud-first approach to our IT, consuming services on-demand and making use of flexible cloud-based infrastructure where possible. Strategic sourcing of our cloud-based services will give us increased agility and security.

Target



A significant portion of the technology estate will be migrated to the cloud by 2020 and the remaining estate will be re-architected to integrate with a cloud-based security model. By 2023 legacy, on-premise infrastructure will be on a 'needs must' basis only.

3. Cloud Productivity



Overview



We will move to a cloud-based collaboration tooling solution which will allow our council colleagues and users to fully interact and share information. We will also implement a number of centrally managed, cloud-based systems to standardise common activity across the council.

Target



All users will move to a cloud-based mail and productivity solution by 2023, allowing access to the majority of council systems from any device and location. Shared working space will also be cloud-based and coupled with a robust document management solution which will be integrated with all core council systems by 2023.

Technology initiatives & outcomes

4. Customer Relationship Management



Overview



We will implement a council-wide customer relationship management system which will provide our citizens with a more cohesive engagement experience, provide us with the data we need to make better informed decisions and improve the speed and quality of our interaction with our citizens and partners.

Target



A new customer relationship management system will be deployed to the Customer Service Centre and integrated with key council systems by 2019.

The system will be expanded to cover all council systems and made available to all council staff by 2023.

5. Citizen View



Overview



We will create a single citizen portal providing unified access to all council services. We have listened to citizen feedback and recognise how fundamental this ease of access is to achieving real channel shift in the services that we offer.

Target



We will enable a significant increase in channel shift by ensuring that all core council services are available online, through the unified portal by 2023.

We will measure the ongoing user experience, usability and accessibility of these services as a core business and design metric.

6. End User Platform



Overview



We will consolidate and standardise devices for internal council users based on a robust understanding of user needs across our services. We will also implement a security model that allows for encapsulation of individual services, tailoring their security requirements to their content sensitivity.

Target



We will improve efficiency in the provisioning of all end user devices, providing the right equipment and digital mobility to enable our staff to serve our citizens.

This includes full support for a “Bring Your Own Device” option for staff members wishing to use their own equipment, accessing council services securely over the open internet.

7. Identity and Access Management



Overview



We will implement an identity and access management system to act as the security layer for all core council systems. A single sign-on access solution will significantly simplify and improve the day-to-day environment for both technology support and users across the council.

Target



This system will provide a single sign-on capability to all core council systems by 2023, enabling simple and easy access to our services, remotely, from any device from anywhere over the open internet.

Technology initiatives & outcomes

8. IT Service Management



Overview



We will improve our service management tooling and processes, providing self-serve capability and a streamlined issue resolution system to enhance the day-to-day experience of all council staff and users.

Target



We will upgrade our current service management tooling to a cloud-based, integrated solution.

Service descriptions and levels of support will be updated in line with new ways of working in a multi-vendor, cloud-based environment.

9. Integrated Comms



Overview



We will migrate to a cloud-based communications infrastructure. This will seamlessly integrate voice, text and video communication channels and leverage the collaboration capabilities of newer forms of communication including social media.

Target



By 2023 we will have implemented a flexible, IP-based, communications platform that is fully integrated with our cloud-based productivity tooling and identity and access management solutions.

The implemented solution will support all mainstream communication channels including higher usage social media platforms.

10. Intranet



Overview



We will upgrade our current intranet platform to a more flexible, cloud-based solution. Developing the intranet over the next five years will be critical to supporting the council's staff and users in embracing the new digital workplace.

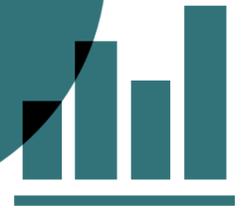
Target



By 2019 we will have deployed our new intranet platform and by 2023 it will be the complete and only source of internal council information and support.

The intranet will also provide a unified interface to the self-service functions for all council users.

11. Management & Business Information



Overview



We will implement a standardised, cloud-based data analysis solution across the council. New skills will be developed to unlock transparent service and business data intelligence.

Target

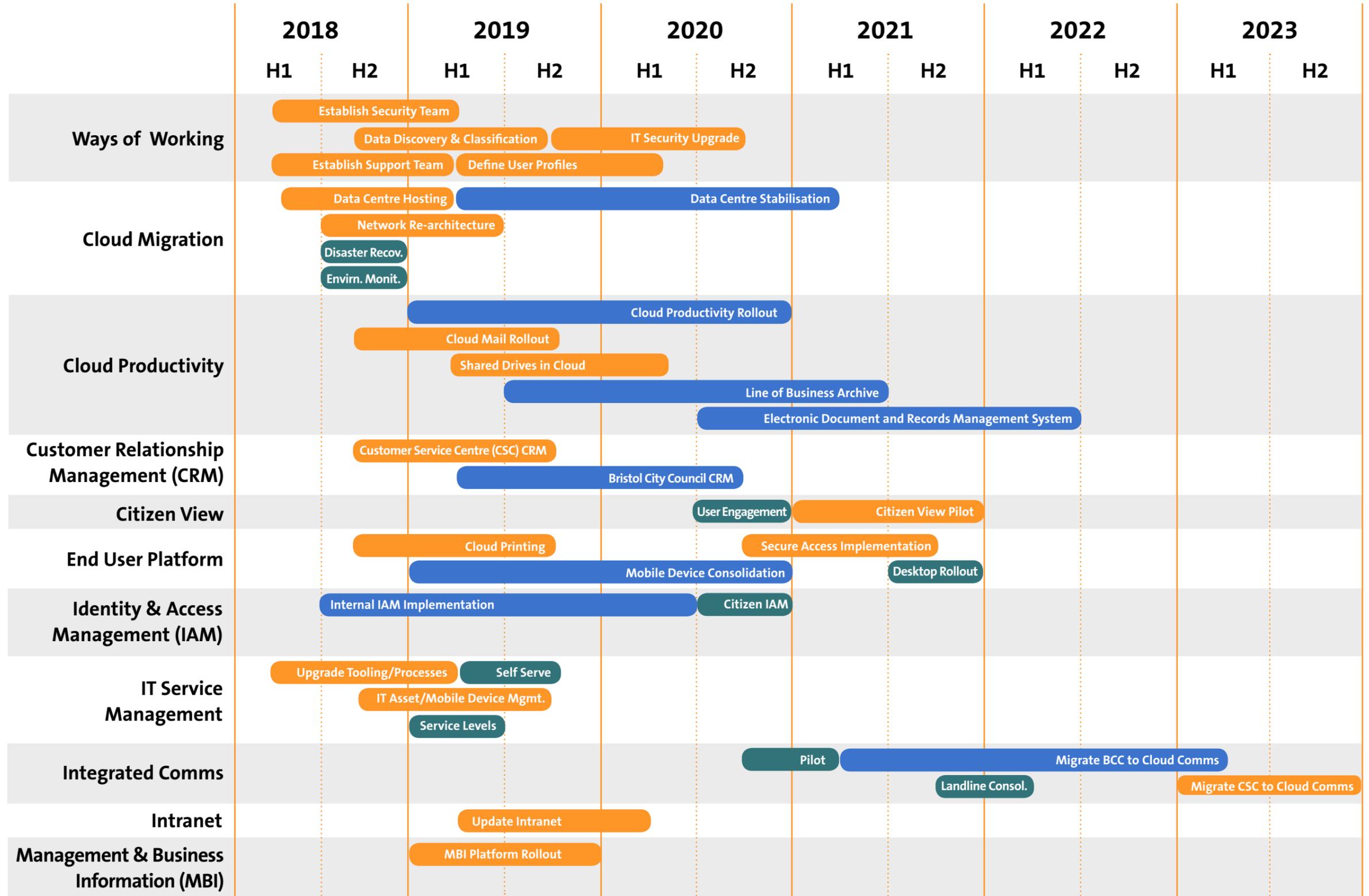


By 2019 we will have defined and deployed our new, cloud-based data analytics platform and made it available to all services via the council's Insight, Performance and Intelligence team.

The solution will allow for self-serve reporting, giving our disparate businesses the ability to define data metrics relevant to them.

Technology transition plan

Technology Initiatives



- Large project (24 months)
- Medium project (12 months)
- Small project (6 months)

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ICT Future State Assessment



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Cabinet Pack
18/06/18



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Organisational feedback underpinning the Future State Design.

2. ICT Strategy Review

Future operating model overview.

3. Future Operating Model

Strategic Themes.

4. Ways of Working

Process Ownership

Key principles of change

Measures of success

5. Cost Model

Annual Cost/Saving and Payback

Future State Financials and Affordability Summary

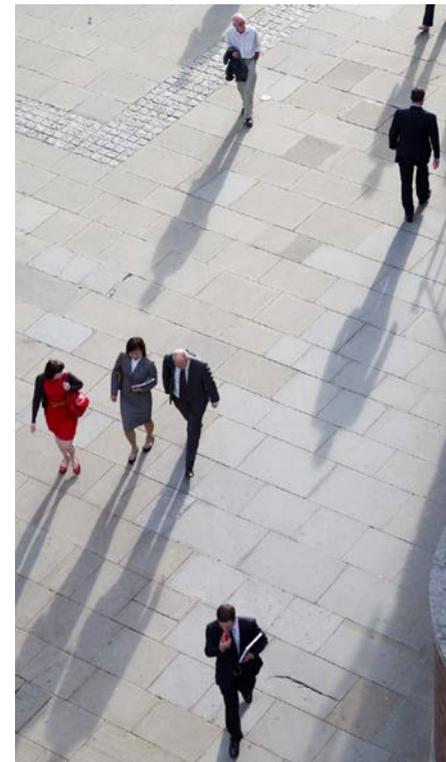
Funding options and alignment to the Capital Programme

6. Appendix

ICT Strategy: Strategic Themes

FTE Resource: Future State Roles

Technology Transition Roadmap: detailed workbook



1. Design Principles & Success Factors



We have used the following cross organisational feedback to underpin the Future State.....

As users we want...

ICT to be **appropriately prioritised** and funded

A **strategic partnership** between the business and ICT

A '**Digital by Default**' strategy for our citizen services whilst assuring we leave no citizen 'behind' by operating appropriate access to services.

To better understand our **citizens' digital needs** (the expectation is growing)

Efficient and **minimal processes** to avoid the need to bypass and create shadow IT

A **consistent** quality of service...not reactively doing our best and apologising when it falls short

A **safe, secure and resilient** ICT service

To learn from pockets of great delivery that should be used as exemplars

Digital change to be **delivered coherently**, and not as point solutions

ICT to be **proactive** and **responsive to change**

To achieve this...

Strategic direction is clear, and innovation is baked in to our daily way of working

ICT should re-organise its structure and capability to **unlock collaboration with the business**

Digital change should be **driven by business and user needs**, with early realisation of channel shift benefits. **Accessibility for all users** is paramount

ICT should focus on **delivering the business of IT** as effectively and efficiently as possible

Change should be undertaken iteratively and in line with a Council wide, cohesive technology strategy

2. IT Strategy Review



ICT Strategy Review: Working Group Recommended Outcomes

The current state...



A renewed Corporate Plan does not yet have an accompanying ICT strategy.

Minimal Enterprise Architecture or strategic principles around common platforms, standards and associated integration.

Change is difficult to prioritise given the lack of strategic direction and often conflicting priorities from the organisation.

Change projects cannot be aligned to a common technical direction of travel which causes ICT to appear sporadic and u-turning on decisions.

There is limited focus on the digital by default agenda including lack of support in shifting users towards a digital channel.

An achievable year 3 target...



A clear digital agenda and strategy agreed and championed by the business. (See Appendix A for strategic themes arising from our ICT strategy review.)

Key direction and principles are set between customisation and consolidation/standardisation of Council systems. (This is fundamental to achieving a simpler, more efficient estate).

The Council is operating under clear enterprise architect principles and roadmaps to align transformation and solution decisions.

Strong leadership within ICT at Service Director and Heads of Service level (for the three key functional areas; Digital Operations, Digital Service Support, Digital Apps & Design Support).

IT and change are strategically led and aligned across the organisation.

Cloud First has been agreed and is actively championed by the organisation. The Council can flex cost and maximise efficiency through on demand consumption of services.

ICT strategy is in place to align transformation activities and ensure consistency between projects.

A fully staffed EA/BA function has produced and is maintaining technical and business roadmaps for all LOB and back office services.

Digital by default ethos adopted by the Council and championed/actioned by ICT and the business collaboratively.

Strategy reassessed and adjusted.

By 5 years...



Reassessment of the Strategy.

Future Operating Model: Overview

By Year 1

- ✓ ICT Strategy articulated and supported
- ✓ Org Structure Simplified and Clear
- ✓ Operating model re-aligned to the business and driving LOB rationalisation
- ✓ Fully assessment of current skills against target state

- ✓ Key skills and roles gaps filled
- ✓ Support tooling and processes in place
- ✓ Stabilisation activities commenced
- ✓ Flexible Resource model implemented

By Year 3

- ✓ Pace of change has significant increased and split between CI and project portfolio
- ✓ Cloud based applications and infrastructure and simplification of the estate has reduced in BAU costs
- ✓ LOB rationalisation has delivered significant business and user benefits

- ✓ Innovation opportunities are exploited and are easier to realise in a simplified estate
- ✓ Technical transition plans have delivered key digital change programmes including O365, BYOD capability, centralised document management/archiving, CRM and Single Sign On

By Year 5

- ✓ Significant LOB rationalisation achieved
- ✓ Common platforms are in place wherever possible
- ✓ Core applications are cloud consumed and hosted

- ✓ Change levels become more sustainable and focus on digital innovation and commercialisation
- ✓ Technical transition plans have delivered a fully integrated citizen digital platform, IP telephony

3. Future Operating Model



ICT Strategy: Strategic Themes

The following are ICT's key strategic, digital themes and aspirations:

Business of IT

Resilient, efficient, secure.
Consolidation, rationalisation
and simplification,

We want to get the Business
of IT right, with a simpler,
safer and more efficient core
service, taking out the
complexity and risk of
legacy IT.



Business Partnering

A collaborative partnership
with the Council's front line
service teams to co-create
innovative digital solutions
that put our users and citizens
at the heart of business
transformation.



Skills & Capability

Building new world capability
within the ICT function and
expanding digital literacy
throughout the organisation
to improve the uptake and
effectiveness of digital
transformation projects.

Creating digital support
networks and infrastructure
to support channel shift in the
citizen population.



Innovation

We will champion the
Council's innovation agenda,
creating an environment for
strategic and supported
innovation, transforming the
lives of our users and citizens.



Data & MI

Data underpins every decision
that we make.

As custodians of citizen and
public data we take
responsibility to protect and
secure the information that
we hold, and aspire to be
transparent and open where
possible.



4.0 Ways of Working



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Ways of Working (Governance): Working Group Recommended Outcomes

The current state...



Innovation with digital components are developed outside of ICT.

Innovation environments linked to the wider business are not formalised, articulated or working affectively.

A lack of timely and strategic decision making hinders continuous improvement and project change.

ICT needs to be better connected with business partners to understand the demands on ICT.

An achievable year 3 target...



Clear responsibility and reporting lines into the organisational governance and decision making forums at the highest level.

Following the re-organisation, governance forums are created that foster decision making and provide senior management the opportunity to discuss escalated issues and strategic direction (see following pages for proposed governance boards).

The PMO function, now re-aligned in the Digital Change Services function, governs the significant change projects undertaken and reports benefits to wider business.

Greater representation across council wide Governance boards (e.g. CPG) informs ICT's view of demand and user needs, which is incorporated into the ongoing change plan.

Strengthened collaborative working with Business partners through new Digital Change Services teams.

By 5 years...



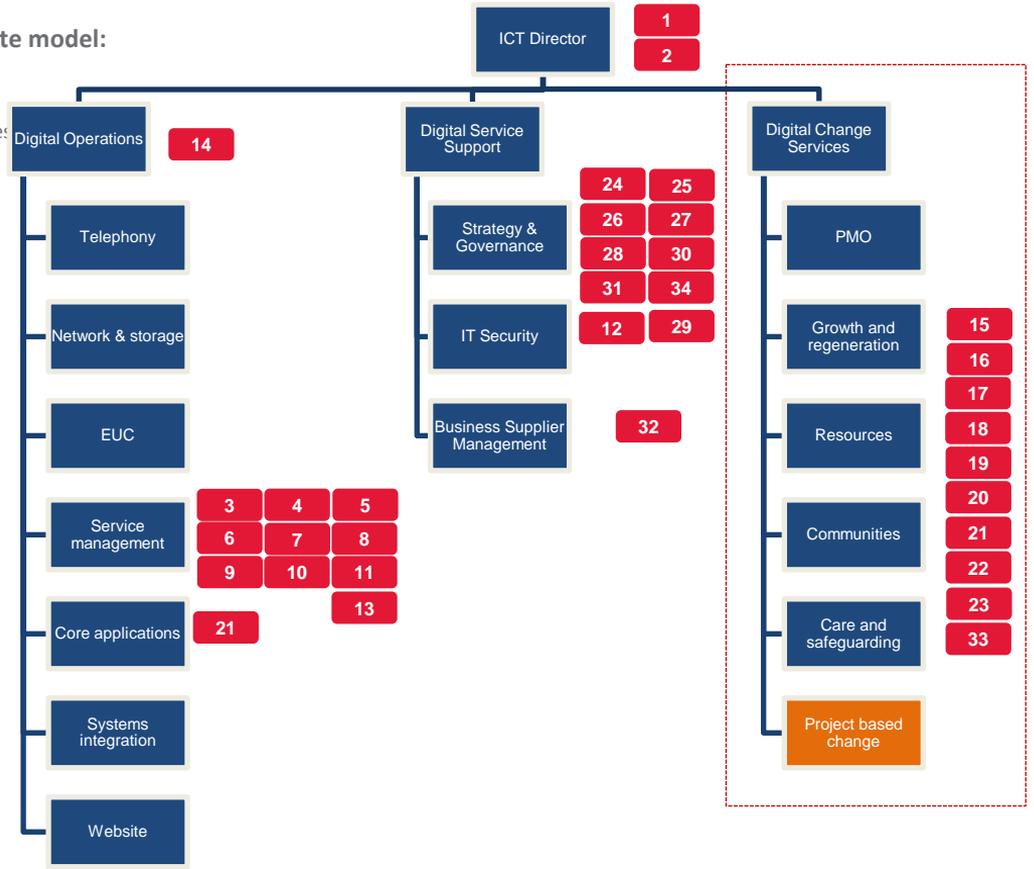
Innovation forums and governance between ICT and the business are in operation. ICT are providing business advice on the "art of the possible" to support the digital by default agenda and promote Bristol as a city of technology and innovation.

Ways of Working (Governance): Process Ownership in the Future Model

Key processes will be owned by the following teams in the future state model:

- Process area**
- 1 Design Coordination
 - 2 Knowledge Management
 - 3 Service Catalogue Management
 - 4 Service Level Management
 - 5 Capacity Management
 - 6 Availability Management
 - 7 IT Service Continuity Management
 - 8 Service Asset and Configuration Management
 - 9 Incident Management
 - 10 Incident Management
 - 11 Request Fulfillment
 - 12 Access Management
 - 13 Problem Management
 - 14 Operations Control
 - 15 Service Validation and Testing
 - 16 Release and Deployment Management
 - 17 Business Relationships Management
 - 18 Change Management
 - 19 Change Evaluation
 - 20 Application Development
 - 21 Application Management
 - 22 Technical Management
 - 23 Service Review
 - 24 Strategy Management for ICT Services
 - 25 Service Portfolio Management

- 26 Demand Management for ICT Services
- 27 Financial Management
- 28 Risk Management
- 29 Information Security Management
- 30 Compliance Management
- 31 Architecture Management
- 32 Supplier Management
- 33 Project Management (Transition Planning and Support)
- 34 Process Evaluation



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Ways of Working (Change): Working Group Recommended Outcomes

The current state...



An achievable year 3 target...



By 5 years...



Currently quantifiable user needs are not a factor in considering the prioritisation of change activity.

User Experience forms an integral part of new system design and quantifiable user experience is undertaken in partnership with the business on an ongoing basis.

User needs continue to be embedded and included in ongoing service assessment and design.

Inconsistent understanding and consideration of user needs across the organization.

Accessibility needs are considered in all digital change. User Experience teams are aligned and embedded in the DevOps service model (Digital Change Services) and continuously feed user needs into iterative development and change.

New digital systems are often implemented on a like for like basis with existing solutions. The opportunity to discover and create new systems based on today's user needs is lost.

The success of change is appraised and measured on achieving digital by default, take up levels and channel shift.

Key stakeholders are not consulted early enough in the project lifecycle.

The organisation has upwardly flexed its staffing levels (fixed term and interims) to deal with the accelerated and complex change needed in years 1-3. (See Organisation model in section 2).

Given the lack of technical strategy and the ongoing funding constraints decommissioning and TCO considerations are commonly de-scoped to meet delivery deadlines.

The organisation has an agreed set of scoring principles used to evaluate and prioritise change.

Continuous improvement and feedback cycles fully operational.

The ICT function is spending a disproportionate amount of time resolving issues caused by relatively small change and is incapable of accurately assessing the cost and impact of change.

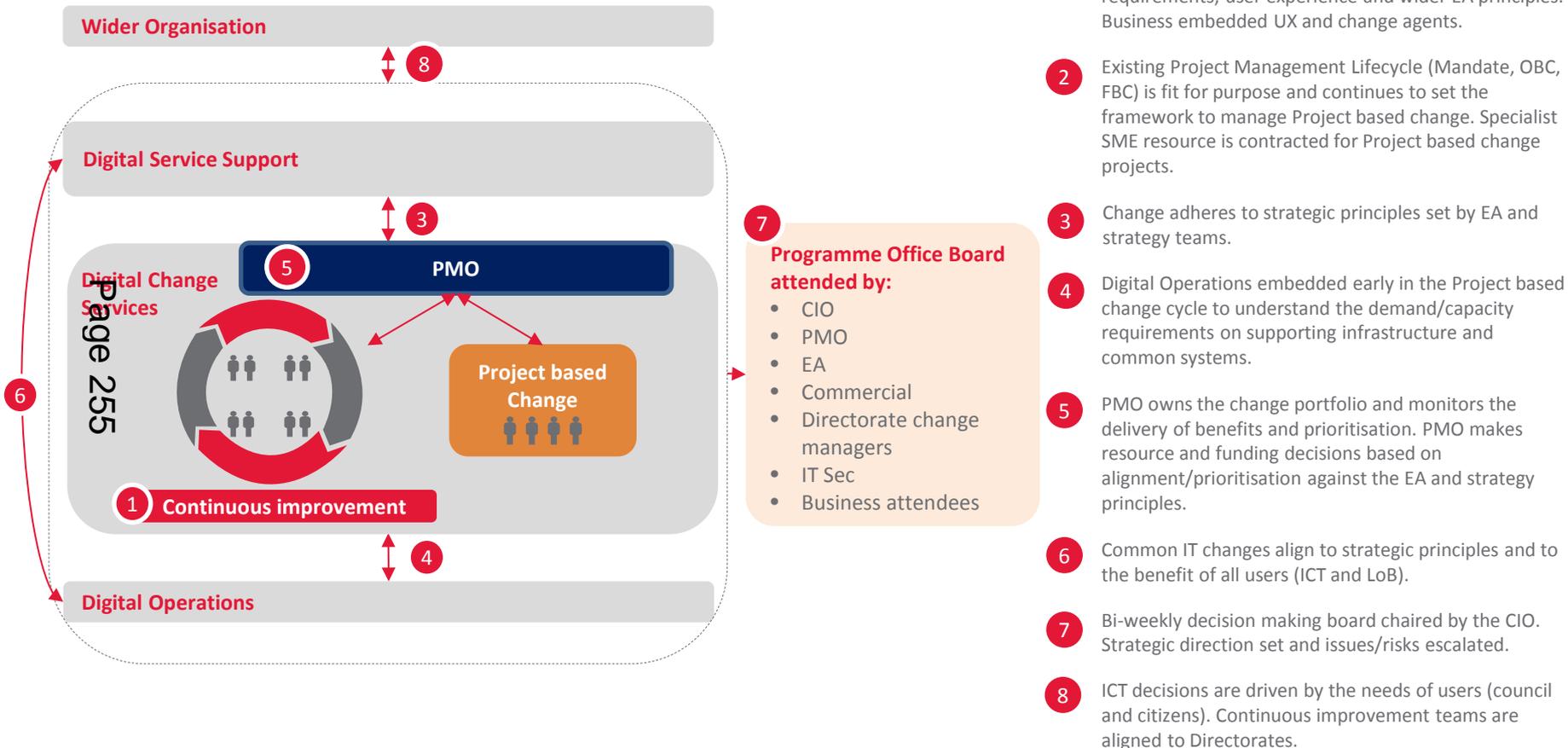
Successful change is being measured by TCO and not only the delivery of new functionality.

Change management processes are in place which allow for impact free continuous improvement and regular deployments of iterative change across the estate.

Project governance and project lifecycle management has seen significant improvements in the last 12 months and continues to be embedded.

The Future State model accelerates change as an embedded and business focused service.

Ways of Working (Change): Key Principles



- 1 Continuous improvement informed through LoB requirements, user experience and wider EA principles. Business embedded UX and change agents.
- 2 Existing Project Management Lifecycle (Mandate, OBC, FBC) is fit for purpose and continues to set the framework to manage Project based change. Specialist SME resource is contracted for Project based change projects.
- 3 Change adheres to strategic principles set by EA and strategy teams.
- 4 Digital Operations embedded early in the Project based change cycle to understand the demand/capacity requirements on supporting infrastructure and common systems.
- 5 PMO owns the change portfolio and monitors the delivery of benefits and prioritisation. PMO makes resource and funding decisions based on alignment/prioritisation against the EA and strategy principles.
- 6 Common IT changes align to strategic principles and to the benefit of all users (ICT and LoB).
- 7 Bi-weekly decision making board chaired by the CIO. Strategic direction set and issues/risks escalated.
- 8 ICT decisions are driven by the needs of users (council and citizens). Continuous improvement teams are aligned to Directorates.

Ways of Working (Change): Measuring Successful Change

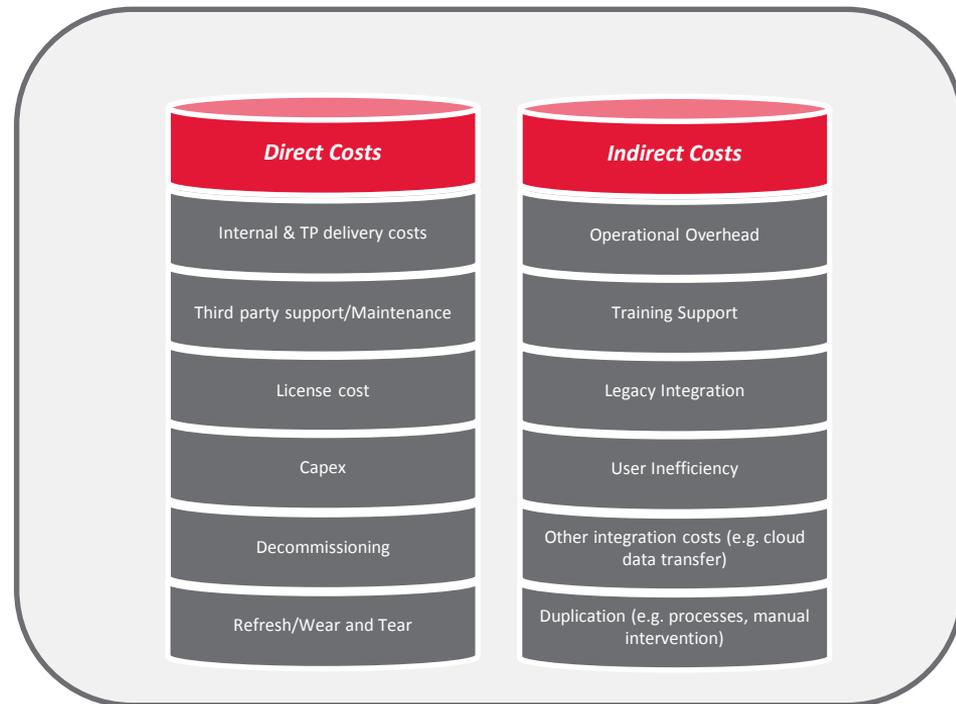
Effective change management should include:

- Tooling implemented to manage and report on change
- Effective Total Cost of Ownership (TCO) measurement techniques and evaluation baked in to all change
- Change decisions and measurement of success is assessed against best fit to strategy and associated enterprise architecture
- Metrics and MI in place to measure the benefit of change
- Decommissioning by default
- Developed User requirements standardised approach
- Including standardised profiles of users across the business : e.g. *Standard Desktop, Lightweight Mobile, Desktop Power User, Mobile Power User, Assisted User, and Field User.*
- Developed standardised mechanism for measuring non financial benefits to the business
- Reporting iteratively to Senior governance boards to ensure continued momentum of change and associated funding

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Critical TCO considerations

- Given the legacy technical debt at BCC, strong project appraisal centred around TCO and target enterprise architecture will be critical to successful change delivery.



4. Technology



Technology Transition Roadmap: Working Group Recommended Outcomes

The current state...



Critical service management systems, processes and tools are not in place which results in significant manual overhead where even basic activities are being handled as exceptions. Rudimentary management information and telemetry is not in place which means ICT cannot assess the effort or risk involved in running or changing the estate.

The resilience of the current estate is low, high levels of unsupported IT, disaggregated applications, and lack of transparency of underlying infrastructure.

Running the current estate with its complexities and legacy debt is both costly and high risk.

Lack of confidence from the business in new solutions means that old solutions are regularly left in place as contingency or as data repositories. This has created an estate which is overly complicated to manage and risky to change. Shadow IT within multiple business units and an excessive number of LOB applications.

An achievable year 3 target...



The state has been fully baselined and the appropriate service management, tooling and associated processes are in place.

All systems are being monitored and dynamic MI/telemetry is being used to measure the effectiveness of the service and its resilience.

At this interim stage, a number of services are being consumed in the cloud and LOB applications have been rationalised. This has brought improved resilience and disaster recovery to transitioned services.

ICT own and operate Common IT across the organisation encompassing standards, policies and core systems e.g. mail, CRM and archiving.

Policies are in place to minimise ICT operational overhead such as BYOD and self serve, the implementation of which will be facilitated by the move to cloud based services.

The IT estate has been simplified and is fully documented and understood allowing change to be accurately costed and risks mitigated.

By 5 years...



Full BYOD policy is operational, along with work anywhere enabled by the migration to cloud services.

All services have a self serve function.

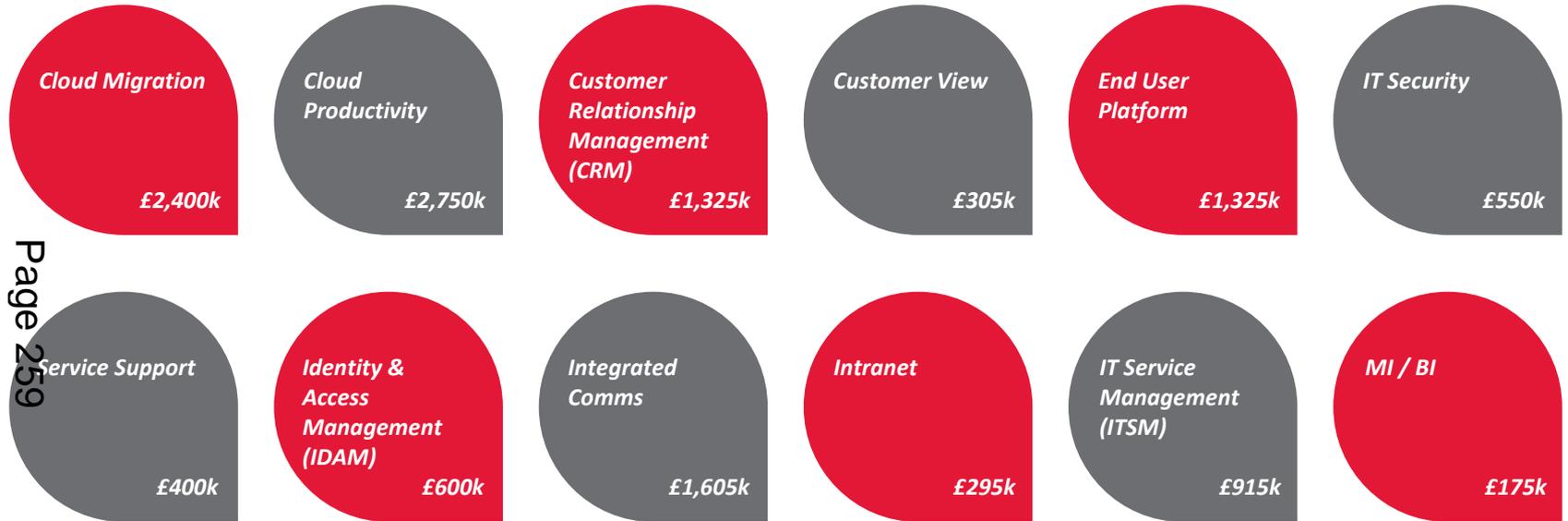
The transition to cloud based services has significantly reduced levels of in house infrastructure.

Cloud based consumption models allow the business to easily flex its requirements and provision services on demand (the business pays for what it consumes).

Shadow IT has been reduced to a minimum and all remaining elements have been brought under ICT management. Any non strategically aligned systems have replacements identified and a date for their decommissioning agreed

Continuous improvement and feedback loops.

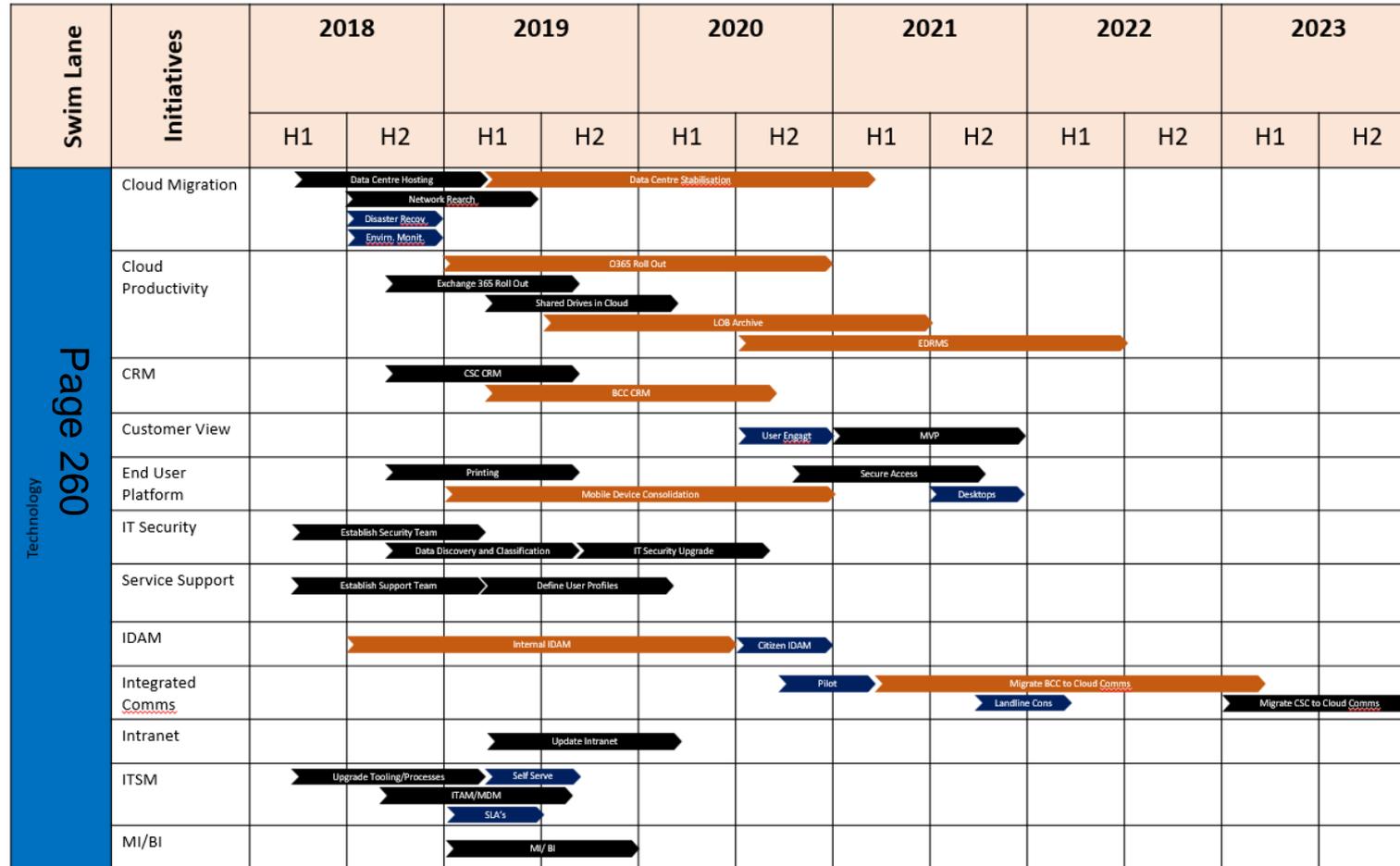
Technology Transition Roadmap: Initiatives totalling £12,645k



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Note: External costs are calculated for Year One of each initiative, based on either (a) a one-off cost, such as hardware; (b) a one-off cost plus one year's annual recurring cost, such as a perpetual software license with a recurring update fee; or (c) an annual recurring cost, such as a cloud service subscription.

Technology Transition Roadmap: Delivery profile



Transition plan



ICT Future State Assessment Risk Register

Negative Risks that offer a threat to BCC and its Aims (Aim - Reduce Level of Risk)

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date
1	Wider service delivery impacted.	Limited investment in core/base technologies	Continues use of the current platforms will cause increased ICT service delivery costs and limit the ability for services to continue to deliver services effectively	Open	Corporate Services	Service Impact	ICT Service	Investment in technologies to upgrade core systems needed to maintain an effective council	Static or declining	4	3	12	>500	2	2	4	2018-2023
2	Unsupported technologies.	Aging technologies are either currently unsupported or are becoming unsupported in the near future	Continued use of aging technologies through limited investment	Open	Corporate Services	Service Impact	ICT Service	Investment in technologies to upgrade core systems needed to maintain an effective council	Static or declining	4	3	12	>500	1	2	2	2018-2023
3	GDPR compliance impacted.	Limited technologies to support compliance	Information will continue to be stored in a less compliant manner with key compliance impacts (fines etc) when current focus on GDPR shifts to other activities and manual support continued to be needed.	Open	Council Wide	Legal	ICT Service	Investment in technologies to support data/information security and GDPR compliance	Static or declining	4	4	16	>1000	1	2	2	2018-2023
4	Increased resource costs needed to support current platforms	Technologies becoming more problematic over time	Core systems needed to operate our services/organisation become aged impacting ability to support these systems.	Open	Corporate Services	Service Impact	ICT Service	Investment in technologies to upgrade core systems needed to maintain an effective council	Static or declining	4	4	16	>1000	2	2	4	2018-2023
5	Cyber security and malicious attack	Aging technologies means that key mechanisms to exploit our systems will be known to the wider hacking/criminal community	Loss of systems and financial attack becoming more credible and less likely to be contained	Open	Corporate Services	Service Impact	ICT Service	investment in modern platforms to protect the organisation from data loss, hacking threat and criminal activity	Static or declining	4	4	16	>1000	1	2	2	2018-2023
6	Lack of funds allocated or re-proportioned	Funds identified may be withdrawn due to other priorities or financial constraints	Consequences include failure to implement FSA which will result in the impact of the risks identified above.	Open	Corporate Services	Service Impact	ICT Service	investment in modern platforms to protect the organisation from data loss, hacking threat and criminal activity	Static or declining	4	4	16	>4500	1	2	2	2018-2023

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.



What is the proposal?	
Name of proposal	Future State Assessment
Please outline the proposal.	The proposal is to implement a Future State Assessment which will review, assess and develop plans and recommendations to address: IT Strategy; IT Future State; IT Organisation; IT Technology and Data & Digital roadmaps.
What savings will this proposal achieve?	TBC
Name of Lead Officer	Steve Somerfield

Could your proposal impact citizens with protected characteristics? (This includes service users and the wider community)
Please outline where there may be significant opportunities or positive impacts, and for whom.
The FSA will implement plans and recommendations which, although internally focused, are expected to have an overall positive impact on Bristol Citizens including those with protected characteristics.
Please outline where there may be significant negative impacts, and for whom.
No negative impacts have been identified at this stage

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.
With the FSA review completed we have a clearer understanding of the wider impacts of the use of technology and more importantly the impact on using less than effective technologies has on individuals in terms of stress and ability to deliver their services effectively. Implementation of plans and recommendations will provide an opportunity to increase the overall usability and accessibility of IT for the council's workforce
Please outline where there may be negative impacts, and for whom.
We need to ensure that plans and recommendations meet the needs of disabled staff including those with sensory impairment who may require integration with assistive technology. We will ensure that accessibility is integral to our target operating model and consult with BCC disabled employees group as part of the implementation of these proposals.

Is a full Equality Impact Assessment required?	
<p>Does the proposal have the potential to impact on people with protected characteristics in the following ways:</p> <ul style="list-style-type: none"> • 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) ? 	
<p>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.</p>	<p>No. This proposal is to initiate implementation of the overall plans and recommendations for the FSA programme only. Individual Equality Relevance Checks and, where required, Equality Impact Assessments must be carried out for specific proposals on a case by case basis</p>
<p>Service Director sign-off and date:</p>	<p>Equalities Officer sign-off and date:</p> <p style="text-align: center;"></p> <p style="text-align: center;">Duncan Fleming 1/6/18</p>

Eco Impact Checklist

Title of report: ICT Future State Assessment				
Report author: Steve Somerfield				
Anticipated date of key decision: July 2018				
Summary of proposals: To implement the findings of the ICT Future State Assessment				
Will the proposal impact on...	Yes/ No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	No			
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	No			
Production, recycling or disposal of waste	No			
The appearance of the city?	No			
Pollution to land, water, or air?	No			
Wildlife and habitats?	No			
Consulted with:				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
There are no identified significant environmental impacts of this proposal.				
Checklist completed by:				
Name:		Steve Somerfield		
Dept.:		Resources – IT		
Extension:		N/A		
Date:		28/05/2018		
Verified by Environmental Performance Team				

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Anti-Money Laundering Policy		
Ward(s)	All		
Author:	Louise Lee	Job title: Audit Manager – Investigations (Job Share)	
Cabinet lead:	Councillor Cheney	Executive Director lead: Denise Murray	
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report: Approve and Adopt the revised Anti-Money Laundering Policy.			
Evidence Base:			
<p>The Policy has been reviewed to ensure it aligns to the new constitution regarding responsibility for Money Laundering Reporting (with the Monitoring Officer) and to reflect requirements of new legislation. It is noted that whilst the new legislation is clearer that it does not apply to local authorities, best practice sees the sector making these arrangements for the wider ethical reasons for doing so.</p> <p>The risk of money laundering is relatively low for a local authority. During 2017/18, only one incident was required to be reported. However, work is planned for 2018/19 to risk assess money laundering threats and ensure training is provided in the areas of highest risk. This work will extend to include new methods of operation such as income generating activity and working with partners.</p>			
Recommendations:			
<ul style="list-style-type: none"> • Cabinet to approve and adopt the Anti- Money Laundering Policy. 			
Corporate Strategy alignment: As below.			
City Benefits:			
Money Laundering arrangements are part of the Council’s counter-fraud arrangements ensuring that the Council operates ethically and within the law.			

Revenue Cost	£N/A	Source of Revenue Funding	
Capital Cost	£N/A	Source of Capital Funding	
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:
<p>1. Finance Advice:</p> <p>There are no costs implications in respect of this policy. The policy itself is mitigation against people using the council for illegal money laundering activity.</p>
<p>Finance Business Partner: Kevin Lock. 4/5/2018</p>
<p>2. Legal Advice:</p> <p>Local authorities are excluded from the requirement to appoint a MLRO and to have in place policies, controls and procedures relating to money laundering and terrorist financing (Reg.15(1)(d) The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017). However, whilst not a legal requirement, many local authorities do appoint a MLRO and maintain an anti-money laundering policy as a matter of</p>

best practice.		
Legal Team Leader: Eric Andrews, Team Leader. Legal Services, 4/5/18		
3. Implications on ICT: There are no identifiable IT implications in this initiative		
ICT Team Leader: Ian Gale 22/02/2018		
4. HR Advice: No HR implications identified		
HR Partner: Celia Williams, Acting HR Business Partner		
EDM Sign-off	Denise Murray	31/05/2018
Cabinet Member sign-off	Councillor Cheney	31/05/2018
CLB Sign-off	Statutory and Policy Board	10/05/2018
For Key Decisions - Mayor's Office sign-off	Mayor's Office.	04/06/2018

Appendix A – Further essential background / detail on the proposal The revised Anti-Money Laundering Policy and guidance is attached	YES
Appendix B – Details of consultation carried out - internal and external – see above	NO
Appendix C – Summary of any engagement with scrutiny – Audit Committee – See above	NO
Appendix D – Risk assessment Although Local Authorities are not a sector that would be considered a high target risk for Money Laundering activities, there are some transactions within Local Authorities where there is some risk. Some risk assessment work needs to be done to identify the areas where risk can be reduced by raising awareness of the issue and how to respond to it. This work is planned for 2018/2019.	NO
Appendix E – Equalities screening / impact assessment of proposal There is no significant equalities impact relating to this report.	NO
Appendix F – Eco-impact screening/ impact assessment of proposal There are no significant environmental impacts relating to this report and a full Eco IA is not needed.	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers	NO
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO



BRISTOL CITY COUNCIL

ANTI-MONEY LAUNDERING POLICY AND PROCEDURE

Correct at: May 2018

Author and Owner: **Internal Audit**

Contact: Andrea Hobbs -9222466
Louise Lee - 3526997

The audience of this document are made aware that a physical copy may not be the latest available version. The latest version, which supersedes all previous versions, is available on the Source.

History of most recent Protocol Changes – **Must be completed**

Date	Page	Change	Origin of Change
May 2018		Full review	

NOTE: *This Policy will be reviewed periodically as appropriate and in accordance with any changes in legislation.*

1.0 INTRODUCTION

1.1 The Proceeds of Crime Act 2002 ('POCA') and the Money Laundering Terrorist Financing & Transfer of Funds (Information on the Payer) Regulations 2017 impact on areas of local authority business and require local authorities to establish internal procedures to prevent the use of their services for money laundering.

2.0 SCOPE OF THE POLICY

2.1 This Policy applies to all employees of the Council and aims to maintain the high standards of conduct which currently exist within the Council by preventing criminal activity through money laundering. The Policy sets out the procedures which must be followed (for example the reporting of suspicions of money laundering activity) to enable the Council to comply with its legal obligations.

2.2 Further information is set out in the accompanying Guidance Note. Both the Policy and the Guidance Note sits alongside the Council's Whistleblowing Policy and Anti-Fraud, Bribery and Corruption Strategy and Policy.

3.0 WHAT IS MONEY LAUNDERING?

3.1 Money laundering offences include:

- concealing, disguising, converting, transferring criminal property or removing it from the UK (section 327 POCA);
- entering into or becoming concerned in an arrangement which you know or suspect facilitates the acquisition, retention, use or control of criminal property by or on behalf of another person (section 328 POCA);
- acquiring, using or possessing criminal property (section 329 POCA);

3.2 Potentially any member of staff could be caught by the money laundering provisions if they suspect money laundering and either become involved with it in some way do nothing about it, or tip off anyone attempting to launder funds. The Guidance Note gives practical examples of money laundering, to aid understanding. This Policy and Procedure sets out how any concerns should be raised.

3.3 ***It is important that employees in areas of money laundering risk (see section 4.3) are familiar with their legal responsibilities as criminal sanctions may be imposed for failure to comply with legislative requirements¹. Failure by a member of staff to comply with the procedures set out in this Policy could also lead to disciplinary action.***

4. OUR RESPONSIBILITIES

4.1 Organisations conducting relevant business are required to put appropriate procedures in place and maintain records. This includes the appointment of a Money Laundering Reporting Officer:

4.2 The officer nominated to receive disclosures for Bristol City Council is the

MONEY LAUNDERING REPORTING OFFICER

Shahzia Daya – Service Director Legal and Democratic Services
0117 92 22413

Email: shahzia.day@bristol.gov.uk

4.3 Not all of the Council's business is "relevant" for the purposes of the legislation. The following are areas of council business which are relevant include:

- Dealing in, managing and administering investments
- Accountancy services and tax advice
- Audit services
- Legal services involving finance and property
- Conveyancing work - sale of property and land. The provision of services in relation to the formation, operation or management of a company or a trust.
- Dealing in goods of any description by way of business (including dealing as an auctioneer) wherever a transaction involves accepting a total cash payment.

1 Up to five years imprisonment for failure to report offence, and the tipping off offence. Up to two years imprisonment for contravention of the systems requirements of the Regulations (e.g. Failure to train staff, who subsequently fail to report). Money laundering offences may be committed by an organisation or an individual. Where organisations fail to comply with the regulations, an offence will also be committed by any officer who consented or connived at the commission of an offence by the organisation, or where the offence was attributable to any neglect on their part.

- 4.4 A cash payment of £10,000 or more should not be accepted without seeking advice or approval from the Service Manager Corporate Finance and Procurement, as set out in Financial Regulations.
- 4.5 The safest way to ensure compliance with the law is to apply them to all areas of work undertaken by the Council. The legislation applies to all staff, but awareness raising will be targeted at staff in highest risk areas.

5.0 Reporting to the Money Laundering Reporting Officer (MLRO)

- 5.1 Where you know or suspect that money laundering activity is taking/has taken place, or you become concerned that your involvement in a matter may amount to facilitating the acquisition, disguising, converting, possessing or retention of criminal property (a prohibited act) you must disclose this as soon as practicable to the MLRO. The disclosure should be on or before the activity. There must be good reason if it is reported afterwards.
- 5.2 The disclosure will be made on-line by the MLRO but to ensure all the required information is provided to the MLRO, there is a reporting form **(available on The Source)**. The report must include as much detail as possible, for example:
- **Full details of all the people involved**
 - **Full details of your/their involvement**
- 5.3 If you are concerned that your involvement in the transaction would amount to a prohibited act, then your report must include all relevant details, as you will need consent from the National Crime Agency (NCA), via the MLRO, to take any further part in the transaction.
- 5.4 You should therefore make it clear in the report whether there are any deadlines which make the matter more urgent, for example, a completion date or court deadline;
- 5.5 Once you have reported the matter to the MLRO you must follow any directions that may be given to you.
- Do not make any further enquiries into the matter yourself: any necessary investigation will be undertaken by National Crime Agency (NCA).
 - Co-operate with MLRO and the authorities during any subsequent money laundering investigation.
 - Don't voice any suspicions to the person(s) whom you suspect of money laundering, even if the NCA has given consent for the transaction to proceed. This could constitute a tipping off offence.
 - Don't make any reference on a client file or record, to a report having been made to the MLRO in case of a client exercising their subject access rights. The MLRO will keep the appropriate records in a confidential manner.

6.0 CONSIDERATION OF THE DISCLOSURE BY THE MONEY LAUNDERING REPORTING OFFICER

- 6.1 Upon receipt of a disclosure report, the MLRO will note the date the report is received and acknowledge receipt of it. They should also advise you of the timescale within which a response can be expected.
- 6.2 The MLRO will consider the report and any other available internal information that might be relevant and make other enquiries as necessary to determine whether a report to NCA is required. The MLRO may also need to discuss the report with you.
- 6.3 Once the MLRO has evaluated the report and any other relevant information, a timely determination must be made as to whether:
- there is actual or suspected money laundering taking place; or
 - there are reasonable grounds to know or suspect that is the case; and
 - whether consent needs to be sought from NCA for a particular transaction to proceed.
- 6.4 A report must be made as soon as practicable to the NCA by the MLRO. The report may not be immediately made to NCA if there is a genuine reason not to do so. For example, legal professional privilege may apply and be a genuine reason for not disclosing the information to the NCA immediately.
- 6.5 Where the MLRO suspects money laundering but has a reasonable excuse for non-disclosure, then a note must be made in the Money Laundering reporting format accordingly; consent can then immediately be given for any ongoing or imminent transactions to proceed.
- 6.6 In cases where legal professional privilege may apply, the MLRO must liaise with the legal adviser to decide whether there is a reasonable excuse for not reporting the matter to NCA.
- 6.7 Where consent is required from NCA for a transaction to proceed, then the transaction(s) in question must not be undertaken or completed until NCA has specifically given consent, or there is deemed consent through the expiration of the relevant time limits without objection from NCA.
- 6.8 Where the MLRO concludes that there are no reasonable grounds to suspect money laundering then the record shall be marked accordingly and consent given for any ongoing or imminent transaction(s) to proceed.
- 6.9 All disclosure reports referred to the MLRO and reports made by them to the NCA must be retained by the MLRO in a secure manner for a minimum of five years.

- 6.10 The MLRO commits a criminal offence if they fail to report a disclosure made to them, to the NCA.

7.0 CLIENT IDENTIFICATION PROCEDURE (Due Diligence)

7.1 When dealing with financial transactions, employees must take steps to identify a citizen and check that they are who they say they are. This will mean obtaining identification documents.

7.2 Where the Council is carrying out **relevant business** (accountancy and financial functions, audit services and financial, company and property transactions of legal services) and:

- a) forms an ongoing business relationship with a client; or
- b) carries out an occasional transaction in excess of £13,000; or
- c) suspects money laundering or terrorist financing; or
- d) doubts the reliability or adequacy of documents, data or information previously obtained for the purposes of identification or verification.

then the Client Identification Procedure must be followed before any business is undertaken for that client. **Please note that unlike the reporting procedure, the client identification procedure is restricted to those operating 'relevant business'.**

7.3 Satisfactory evidence of the identity of the prospective client must be obtained as soon as practicable after instructions are received This might involve:

- checking the company website
- confirming the nature of the business and directors with Companies House
- confirming the identity of the key contact within the company

7.4 If there is any doubt about a citizen's identity then do not continue to deal with them until you are sure.

In certain circumstances enhanced citizen due diligence must be carried out for example where:

- The citizen has not been physically present for identification;
- The citizen is a politically exposed person (an individual who at any time in the preceding year has held a prominent public function outside of the UK, and EU or international institution/ body, their immediate family members or close associates);

- There is a beneficial owner who is not the citizen with which you are dealing. A beneficial owner is any individual who: holds more than 25% of the shares, voting rights or interest in a company, partnership or trust.

7.5 Enhanced citizen due diligence could include any additional documentation, data or information that will confirm the citizen's identity and/ or the source of the funds to be used in the business relationship/ transaction. If you believe that enhanced citizen due diligence is required then you must consult the MLRO prior to carrying it out.

7.6 **If satisfactory evidence of identity is not obtained at the outset of the matter then the business relationship or one off transaction(s) cannot proceed any further.**

7.7 The requirement for the citizen identification procedure, or due diligence, applies immediately for new customers and should be applied on a risk sensitive basis for existing customers. Ongoing citizen due diligence must also be carried out during the life of a business relationship but should be proportionate to the risk of money laundering and terrorist funding, based on the officer's knowledge of the citizen and a regular scrutiny of the transactions involved.

8.0 **RECORD KEEPING PROCEDURES**

8.1 Each unit of the Council conducting relevant business must maintain records of:

- client identification evidence obtained; and
- details of all relevant business transactions carried out for clients

for at least five years. This is so that they may be used as evidence in any subsequent investigation by the authorities into money laundering.

8.2 The precise nature of the records is not prescribed by law, but must be capable of providing an audit trail during any subsequent investigation, for example distinguishing the client and the relevant transaction and recording in what form any funds were received or paid. In practice, the business units of the Council will be routinely making records of work carried out for clients in the course of normal business and these should suffice in this regard. All records must be kept in compliance with Data Protection Legislation. .

9. **TRAINING**

9.1 In support of the policy and procedure, the Council will:

- Make all staff aware of the requirements and obligations placed on the Council and on themselves as individuals by the anti-money laundering legislation; and
- Give targeted training to those most likely to encounter money laundering.
- Prepare guidance notes to assist staff in the operation of this policy
- Make the Policy, guidance and reporting form available to officers and members on the intranet
- Issue regular reminders to staff on the requirements of the Anti-Money Laundering Policy adopted by the council.

10. **HELP AND ADVICE**

10.1 Should you have any concerns whatsoever regarding any transaction then you should contact the MLRO. Other contacts in Internal Audit available to discuss any suspicions are:

Audit Manager: Andrea Hobbs telephone 0117 9222466

email: andrea.hobbs@bristol.gov.uk

Audit Manager: Louise Lee telephone 0117 3526997

email: louise.lee@bristol.gov.uk



Anti-Money Laundering Guidance

1. Introduction

Money laundering legislation implemented by the Proceeds of Crime Act 2002 and the Money Laundering, Terrorist Financing & Transfer of Funds (Information on the Payer) Regulations 2017 requires the Council to establish procedures designed to prevent the use of its services for money laundering.

The law is intended to prevent money from illegal activities such as drug dealing from being 'laundered' and turned into legitimate finance. Money laundering might also be used to hide the financing of terrorism or other criminal activities.

2. What is Money Laundering?

Money laundering is the disguising of the source of criminal money, either in cash, paper or electronic form. This may be in order to conceal that the money has originated from crime, or it may be to conceal the source of money that is to be used in the pursuit of future crime. Money Laundering can be complex and involve several transactions.

3. How to make a Disclosure Report

Where you know or suspect that money-laundering activity is taking / has taken place it must be disclosed immediately to Internal Audit. The disclosure should be on or before the activity. There **must** be good reasons if it is reported afterwards. A referral template can be found on the Source.

If you prefer, you can first discuss your suspicions with the named officers below.

Money Laundering Reporting Officer Shazia Daya – Service Director – Legal and Democratic Services.

Contacts in Internal Audit are:

- **Head of Audit (J/S)** Melanie Henchy-McCarthy or Alison Mullis
- **Audit Manager - Investigations** - Andrea Hobbs
- **Senior Investigations Officer** - Louise Lee

No discussions should take place with colleagues other than your manager as confidentiality is paramount. You will be informed if a report is to be sent to the National Crime Agency and advised on what to do next.

Please see the Council's Money Laundering Policy for more information and a pro-

forma for reporting suspicions of money laundering.

Any Council employee, could contravene the money laundering legislation if they become aware of, or suspect the existence of criminal 'property', and continue to be involved in the matter without reporting their concerns.

If an employee has a concern they should ask questions or seek further information to allay any suspicions they may have. Enquiries can be made of the individual to establish whether or not there is an innocent explanation before deciding whether or not to make a disclosure report. If you continue to be suspicious you should make a report to the Council's nominated officer

The suspected money launderer must not be informed that the matter is being reported.

Once a report has been made to the Council's nominated officer or if you suspect that a report has been made, the potential offence of "Tipping Off" arises. Tipping Off is where someone may prejudice an investigation by giving information to a person suspected of money laundering.

4. How you might recognise money laundering and what checks you must do

- **Carry out appropriate checks to satisfy yourself of the company's or citizen's ID. Additional care must be taken when the person is not physically present.**
- **Satisfy yourself as to the source of the funds and the owner of them. Ask yourself "Given my knowledge of this person, is it plausible that they can pay this amount, for this service, by this means?"**

5. Examples of Potential Money Laundering

Case A

Any large cash transaction should alert suspicion.

A Council tenant who has been unemployed for 10+ years and in receipt of Housing Benefit applies to buy their Council House. The tenant advises that he will pay £10,000 in cash and pay the balance by bank transfer.

Financial Regulations do not allow deposits of cash in excess of £10,000 to be accepted, unless approval has been given by the Head of Corporate Finance and Procurement. Any large cash transactions should arouse suspicion.

Case B

An offer is made for a parcel of land, by a developer, which is far in excess of its value.

Case C

There is an unexplained significant overpayment which the person then requests is paid back to them, or a transaction is cancelled and refund requested. Payments should always be paid back to the account from which they came. Look to see if there is a pattern of similar transactions.

Case D

Liabilities are repeatedly met by payment from an unconnected 3rd party.

Other behavior that may arouse suspicion:

- If information about the client reveals criminality or association with criminality.
- If there is more than one Solicitor/ Conveyancer used in the sale or purchase of a property or land or if there is an unexplained and unusual geographic use of a solicitor in relation to a property's location.
- If the Buyer or Seller's financial profile does not fit, particularly in relation to property transactions.
- If there are over complicated or poor financial systems
- Any odd or secretive behavior
- Illogical involvement of an unconnected third party
- A large transaction split into smaller ones without apparent reason (other than perhaps to avoid identity checks)

6. Ongoing monitoring

Once you have verified the identity of the citizen (or company) you will still need to monitor activity throughout the relationship and obtain updated documents when necessary. Records must be kept of citizen identification and business transactions for at least 5 years after the transaction or end of the business relationship. All records must be kept in accordance with Data Protection Legislation.

Decision Pathway – Report

PURPOSE: Non Key Decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Corporate Risk Management Report and Corporate Risk Register Report		
Ward(s)	City Wide		
Author: Jan Cadby	Job title: Interim Risk Manager		
Cabinet lead: Councillor Cheney	Executive Director lead: Denise Murray		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
<p>Purpose of Report: Managing risks are an integral element to the achievement of the Bristol City Council's (BCC) Corporate Strategic Plan (CSP) deliverables. The report provides an update on work completed to improve risk management at BCC and sets out the council's current significant risks and summarises progress in managing the risks up to Quarter 1 2018-19.</p> <p>The Corporate Risk Register (CRR) is a key document in the council's approach to the management of risk; it captures strategic risks set out in the Corporate Strategy 2018-2023 and Business Plan 2018-2019. It also provides a context through which Directorates construct their own high level risk assessments and is used to inform decision making about business planning, transformation and service delivery.</p> <p>The CRR provides assurance to management and Members that the Bristol City Council's significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed.</p> <p>The CRR attached to this report at Appendix A is the latest formal iteration following a review by members of the council's Corporate Leadership Board (CLB) in June 2018.</p>			
<p>Evidence Base: The Accounts and Audit Regulations 2015 require the council to have in place effective arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS).</p> <p>Ensuring that the CRR is soundly based will help the council to ensure it is anticipating and managing key risks to optimise the achievement of the council's objectives and prioritise actions for managing those risks.</p> <p>The CRR is a management tool and needs regular review to ensure that the occurrence of obstacles or events that may put individual's safety at harm, impact upon service delivery and the council's reputation are minimised, opportunities are maximised and when risks happen, they are managed and communicated to minimise the impact.</p> <p>The Risk Management Policy (RMP) and the scoring criteria were revised. The policy will be subject to an annual review and reported on in 2018-19.</p>			
Recommendations:			
Cabinet are requested to receive and note the Corporate Risk Report.			
Corporate Strategy alignment: Managing risks are an integral element to the achievement of the BCC Corporate Strategic Plan (CSP) deliverables.			
City Benefits: Risk Management aims to maximise achievement of the council's aims and objectives.			

Consultation Details:

Risk Management Framework

Risk management is the culture, process and structures that are directed towards effective management of potential opportunities and threats to the council achieving its priorities and objectives and a key element of the council's governance framework.

The Annual Governance Statement (AGS) declaration for 2017-18 has highlighted a number of opportunities to enhance Risk Management. Areas for improvement include:

- Increasing the level of engagement and ownership by Service Managers.
- Enhancing the engagement of Members in the risk management process.
- Refreshing the Corporate and Directorate Risk Registers.
- Risk Management training and awareness.
- Risk Management within Business Case approvals, Project Management and Procurement Frameworks.
- Maintaining the focus of the process on reducing risk against the council's Corporate Plan 2018-23.

An interim Risk Manager has been sourced to further embed Risk Management principles and practices within the council.

The Corporate Risk Register (CRR)

The Corporate Leadership Board (CLB) has reviewed the CRR in June 2018 and accepts it as a working register which will need continued improvement as it embeds.

The CRR sets out the significant critical and high rated risks. All other business risks reside on the Directorate Risk Registers.

The Corporate Risk Register (CRR) as June 2018 contains: No Critical risks, 12 high rated risks (pages 1 to 12), 5 medium risks (pages 13 and 17), and 1 high and 1 medium event risks (pages 18 to 19). A summary of the progress of risk for this reporting period is set out below.

There are seven improved risks this quarter:

- **CRR1 - Delivery of the long term commercial investments programme and major projects may require greater than anticipated capital investment:** which covers a number of commercial and asset investment requirements, and their potential impact on the council's finances, as identified in the budget report approved by Full Council in February 2018 improved from a 4x7 (28) critical risk to 3x7 (21) high risk. The Growth and Regeneration Board have reviewed the council's Capital Governance arrangements and established the Growth and Regeneration Board. The Board will provide oversight of delivery and management assurance to ensure ongoing improvement of the capital programme. This risk is managed and monitored on the Growth and Regeneration Risk Register.
- **CRR8 - Service Review:** If the organisation is not able to redesign its services quickly enough, a reduction in staffing levels and loss of experienced and skilled staff will have an impact on service delivery, and on remaining staff. This has improved from 4x5 (20) high risk to 3x5 (15) high risk. The senior management restructure is nearing completion and the external support from the Local Government Association (LGA) on the recruitment process has led to all roles being recruited against in the new leadership framework. This approach will be rolled out to the wider organisation as part of the performance and talent management refresh. There have been regular internal communications with staff, members and key stakeholders to keep everyone up to date with developments. The senior management restructures are scheduled for completion by end of July 2018. This risk is managed and monitored on the Resources Risk Register.
- **CRR12 - Civil Contingencies and Council Resilience:** If the City has a Major Incident, Contractor Failure or the council inadequately responds, then the impact of the event may be increased with a greater impact on people and businesses. This has improved from a 3x7 (21) high risk to 2x7 (14) high risk. Continual progress is being made on contingency plans, exercising working in partnership with the Avon and Somerset Local Resilience Forum (LRF) to enable Bristol to respond to significant events. This risk is managed and monitored on the Communities Risk Register.

- **CRR13 - Financial Framework & Medium Term Financial Planning:** Failure to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget improved from 2x7 (14) high risk to 2x5 (10) medium risk. The council has developed a strong rolling Medium-term financial planning process and is working to ensure a rigorous structure exists to oversee the budgetary control process from budget setting through to monitoring, oversight & scrutiny. This risk is managed and monitored on the Resources Risk Register.
- **CRR14 - Information Governance - Introduction of the General Data Protection Regulations (GDPR):** The council has made significant progress on compliance with the General Data Protection Regulations (GDPR). The risk improved from 2x7 (14) high risk to 2x5 (10) medium risk. The next steps are to deliver a Business Case to the Statutory and Policy Board (SPB) in June 2018. This risk is managed and monitored on the Resources Risk Register.
- **CRR16 - Leadership:** If there is a lack of leadership or management skills then this could impact on performance and the ability to deliver positive change. The risk improved from 4x5 (20) high risk to 2x5 (10) medium risk. The council has made significant progress on the development of its leadership and management skills to help deliver positive change. This risk is managed and monitored on the Resources Risk Register.
- **CRR17- Strategy Management:** The council fails to produce or embed a Corporate Strategy with clear links through to business planning and performance management, resulting in less effective implementation of policy, use of resources and/or partnership working. The risk improved from 2x7(14) high to 1x7 (7) a medium risk. The council has made significant progress on the Strategy Management to help deliver BCC's Corporate Plan 2018-23. This risk is managed and monitored on the Resources Risk Register.

The following risks have been revised this quarter:

- Safeguarding Vulnerable Children and Vulnerable Adults has been split into two risks:
 - CRR9: Safeguarding Vulnerable Children.
 - CRR10: Safeguarding Vulnerable Adults.
- Business Continuity and Civil Contingencies has been split into two risks:
 - CRR5: Business Continuity and Council's Resilience.
 - CRR12: Civil Contingency and Council's Resilience.

The medium risks - Legal disputes and claims, self-insurance and the risk of claims to the council not being covered by the council's insurance policies; and Partnerships - in the current context of change, coupled with collective financial challenges, the effectiveness of partnership working may be jeopardised, previously reported in Q3. 2017/18 are managed and monitored on the Resources Directorate Risk Registers to manage and monitor.

All identified risks have been reviewed in light of the revised scoring and will set the performance for future reviews. All risks on the CRR have management actions in place. The CRR will be subject to a refresh during 2018.

The Audit Committee will receive and approve the Corporate Risk Report and the Corporate Risk Register Report in July 2018.

As with all risks, it is not possible to eliminate the potential of failure entirely without significant financial and social costs. The challenge is to make every reasonable effort to mitigate and manage risks effectively, and where failure occurs, to learn and improve.

Further details are contained in Appendix A: The summary of the risks are set out on pages 1 to 19 including controls and management actions, a summary of risk performance on page 20, the risk matrix on page 21 and the risk scoring criteria on page 22. A more in-depth risk register is available on request.

Revenue Cost	£0	Source of Revenue Funding	NA
Capital Cost	£0	Source of Capital Funding	NA
One off cost <input type="checkbox"/>		Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/> Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/IT/ HR partners:	
1. Finance Advice: The CRR is a live document refreshed regularly following consultation across the organisation, and aims to provide assurance that the council's main risks have been identified and appropriate mitigations are in place to ensure they are managed within agreed tolerances. This includes, as set out in the annual budget report, measures to ensure appropriate financial provision is made through the budget planning process and reserves.	
Finance Business Partner: Chris Holme, Acting Director Finance. 25 th June 2018	
2. Legal Advice: There are no specific legal implications in the report. The CRR and report assists the council to monitor and ensure compliance with its Statutory and other duties.	
Legal Team Leader: Nancy Rollason, Head of Legal Service and Deputy Monitoring Officer 21 st June 2018	
3. Implications on IT: There are no direct IT implications in this initiative. Any actions to mitigate risks requiring IT input will follow standard change request processes.	
IT Team Leader: Ian Gale, Acting Head of IT. 9 th May 2018	
4. HR Advice: It is essential that staffing resources are appropriately deployed to manage these risks that are highlighted. There are no HR implications arising from the CRR update report.	
HR Partner: Mark Williams, Head of Human Resources. 20 th June 2018	

EDM Sign-off	Denise Murray	11 April 2018
Cabinet Member sign-off	Cllr. C. Cheney	18 June 2018
CLB Sign-off	Denise Murray	12 June 2018
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4 June 2018
Appendix A – Further essential background / detail on the proposal Appendix A: The Corporate Risk Register Summary Report Pages (1 to19), the Corporate Risk Register Summary (page20), the Risk Rating Matrix and Scoring Criteria (pages 21 to 22)		YES
Appendix B – Details of consultation carried out - internal and external		NO
Appendix C – Summary of any engagement with scrutiny		NO
Appendix D – Risk assessment		NO
Appendix E – Equalities screening / impact assessment of proposal		NO
Appendix F – Eco-impact screening/ impact assessment of proposal		NO
Appendix G – Financial Advice		NO
Appendix H – Legal Advice		NO
Appendix I – Combined Background papers		NONE
Appendix J – Exempt Information		NO
Appendix K – HR advice		NO
Appendix L – IT		NO

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR1: Long term commercial investments and major projects capital investment.</p> <p>BCC'S long term commercial investments and major projects may require greater than anticipated capital investment.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> The cost is higher than expected. The project is delivered later than planned. The operating and maintenance costs of the asset exceed expectations. The demand for the asset is less than budgeted driving down income. Strategic, geographic, social, financial and economic conditions changing over time. <p>Oversight of Project Interdependencies not well managed.</p>	<p>We have reviewed Capital Governance arrangements and have established the Growth and Regeneration Board in order to improve capital programme governance and accountability arrangements. The Board is overseen by the Delivery Executive to make improvements to capital project business cases, taking account of whole life costing principles and improving capital monitoring arrangements.</p> <p>We are understanding, monitoring and reporting the cost-determining factors, and seeking relevant professional advice to ensure Value for Money (VfM) by undertaking due diligence which covers the economic, financial, social and environmental case. This is ongoing.</p> <p>Governance arrangements are in place for the council as a Company Shareholder.</p> <p>The Growth and Regeneration Directorate is responsible for delivery of major infrastructure projects. Some of the key projects include:</p> <p><u>Harbour Strategy</u></p> <ul style="list-style-type: none"> We are looking to secure capital funding to commence in 2018/19 through a robust capital business case to make commercial improvements across areas such as new pontoons, and boaters facilities both of which will generate income and make the area more attractive economically. We have completed a commercial benchmarking exercise in terms of charges and commercial offering using similar marina sites across the UK. We are constructing a plan around our commercial offering, fees & charges, leases etc. to ensure we are maximising income that can be used to invest in the area. Carrying out condition surveys to assist with the development of a robust maintenance schedule. <p><u>Arena</u></p> <ul style="list-style-type: none"> We have ensured for Temple Meads that there are robust contingencies within the project cost, and the consultant's report confirms the risks to the project in terms of risk allocation and contractual arrangements, and passing operational risk to the operator. <p><u>Colston Hall</u></p> <ul style="list-style-type: none"> Consultants were engaged last year to undertake an options appraisal to verify the project in its current format i.e. what we are building and is the right option to make the hall financially sustainable and overcome the lack of capital investment by Bristol City Council. Cabinet signed off on underwriting the project to the value, not to exceed £48.8m. Under the Southern Construction Framework (administered by Devon County Council). 	<p>↑</p>	3	7	21	<p>Development of Capital Strategy by February 2019.</p> <p>Improvements to capital programme governance and accountability arrangements through Housing, Property and Growth & Regeneration Board, with tracking and delivery overseen by Delivery Executive in July 2018.</p> <p>The Executive Director for Growth and Regeneration has instigated a series of ongoing 'Deep Dives' with a focus on key programmes and project deliverables feedback being reviewed by the Growth and Regeneration Board.</p> <p>The Growth and Regeneration Board meets monthly to continue to improve project, programme and portfolio risk management to ensure robust arrangements are in place and challenge against deliverables. We will maintain a balanced portfolio of investment assets so that exposure to particular classes of risk can be minimised.</p> <p>We will be strengthening client side arrangements for companies in July 2018 around the:</p> <p><u>Arena</u></p> <ul style="list-style-type: none"> We have commissioned consultants to carry out Value for Money (VfM) studies for the Arena at Temple Meads plus an alternative scheme at Filton. Options will be considered at Cabinet 3rd July 2018. <p><u>Harbour Strategy</u></p> <ul style="list-style-type: none"> We are working with colleagues across the Growth & Regeneration and Communities Directorates to ensure we have a joined up approach to delivering a new Harbour Strategy. This falls in to three main work streams Assets, Design and Harbour/Marina activity. Whilst these 3 pieces of work are in differing project stages, an umbrella group to act as a steering and governance forum is being established by September 2018. As part of a robust asset management planning framework we are carrying out condition surveys on the docks walls to produce a future maintenance schedule as part of the BCC Asset Management Plan by end December 2018. <p><u>Colston Hall</u></p> <ul style="list-style-type: none"> We have engaged a consultant under a Pre-Construction Services Agreement (PCSA). We have set up a 10 point plan to address any issues by September 2018 to enable us to meet budget constraints. To assist in the process we have engaged the help of the Southern Construction Framework (SCF) administrator. 	1	7	7
<p>Risk Owner: Executive Director Growth and Regeneration and Section 151 Officer, Acting Executive Director Resources.</p>	<p>Action Owner: Acting Director Finance, Flood Risk Engineer, Strategic City Transport, Director Transport, Director Planning, Director Commercialisation and Senior Information Risk Owner (SIRO).</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>						

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR2: IT Infrastructure.</p> <p>IT Infrastructure does not meet service delivery requirements then there could be serious implications for the organisation and the people it serves.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Lack of infrastructure investment in IT. • Reliance on legacy systems. • Limited integration with corporate systems. • Lack of skilled staff. • Retention of skilled staff. <p>Confidence in resilience of IT infrastructure response.</p> <p>Limited business engagement to identify appropriate IT solutions.</p> <p>Limited identity and access management.</p>	<p>A Future State Assessment (FSA) review has been undertaken of the performance of the IT service and the technology in use. The FSA Rollout 2018/19 is ongoing subject to cabinet approvals and funding in July 2018.</p> <p>An Internal Audit of FSA review was carried out May/June 2018.</p> <p>The IT Strategy was developed May/June 2018 and the FSA transition plan completed May/June 2018.</p> <p>The financial envelope created and financial review April 2018.</p> <p>The IT Impact assessment is in place and will be communicated and trained during Q2/3. 2018.</p> <p>IT resilience improvements have been made to underlying data storage, data centre capability and network resilience during 2018/19.</p> <p>There is an on-going programme of review relating to IT Disaster Recovery and Business Continuity. All internal IT security incidents are logged and reviewed from an IT and wider Information Governance perspective.</p>	<p>↔</p>	3	7	21	<p>BCC continues to delivery against the FSA Plan to 2023 which includes the future investment, improvements to legacy IT, solution based integration to future systems, business engagement and confidence in our resilience of operational for out IT Infrastructure.</p> <p>BCC will review of the skills within the IT team as set out in the FSA Plan by Q3. 2018/19. The transition planning (projects delivery) initial resources recruitment is underway Q1. 2018/19.</p> <p>A phased implementation of a series of key projects identified as part of the FSA review and prioritised to deliver mitigation against the risks identified starting in Q2. 18/19 planned completion by end 2021. Key projects include:</p> <ul style="list-style-type: none"> • The Cloud migration project. • A phased Cloud productivity solution • A phased implementation for a Customer Relationship management solution. • A single customer view. • End User Platform. • IT Security. • IT Service support. • Identity and Access Management (IDAM). • Integrated Communications. • Intranet. • IT Service Management (ITSM). • Management information and Business Information MI/BI including Knowledge Management. <p>Skills assessment of the IT is underway, and a planned restructure will be implemented to support the needed skills and resourcing profile to achieve the FSA transition plan July – December 2018.</p> <p>Core IT processes need to be implemented/re-engineered to drive the service towards more proactive ways of working to support the wider organisations drive to achieve savings and service change July 2018 - July 2019.</p> <p>The decision pathway for release of funds is underway - target completion is Q2. 2018/19.</p> <p>The review of business continuity/contingency plans is progressing well and due by Q3. 2018/19.</p> <p>FSA Project Risk Register update and quarterly reporting is ongoing during lifetime of the project.</p>	1	3	3
Risk Owner: Interim Director: IT.	Action Owner: Interim Director: IT.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Fair and Inclusive, Well Connected, Wellbeing.				

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level			
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating	
<p>CRR3: Failure to Manage Asbestos.</p> <p>Failure to manage the asbestos management plan for properties.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Staff availability to carry out work plans in a safe way. • Lack of appropriate training. • Lack of oversight and control by local management. • Lack of information on the potential or known risks. • Inadequate contract management arrangements. • Lack of effective processes and systems consistently being applied. • Policies are not kept up to date. <p>Budget pressures.</p>	<p>We have an ongoing plan for properties to be surveyed prior to any work being undertaken by Asbestos Consultants plus an ongoing programme of surveys is being carried out.</p> <p>Funding for Contractor training was agreed in February 2018.</p> <p>There is a process for reporting Asbestos exposure incidents to the HSE via F2508 form. Asbestos incidents are reported via the Corporate health and safety accident/incident process. Asbestos incidents are investigated in-house and appropriate actions taken. Significant asbestos issues are reported to the appropriate Health & Safety Committees, senior management and executive.</p> <p>Corporate Asbestos arrangements have been reviewed and published on the Source, 12th June 2018.</p>	↔	3	7	21		1	7	7
<p>Risk Owner: Executive Director Growth and Regeneration and CLB.</p>	<p>Action Owner: Executive Director Growth and Head of Health, Safety and Wellbeing.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

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Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR4: Corporate Health, Safety and Wellbeing.</p> <p>If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of citizens.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • If services do not have sufficient staff numbers to carry out work plans in a safe way. • If services are not able to order appropriate equipment required for staff safety. <p>Lack of appropriate equipment. Lack of appropriate training. Lack of oversight and control by local management. Lack of information on the potential or known risks. Inadequate contract management arrangements.</p> <ul style="list-style-type: none"> • Lack of effective processes and systems consistently being applied. • Policies are not kept up to date. • Budget pressures. 	<p>The Corporate Health & Wellbeing (HS&W) team is in place to support the council and provide advice and guidance. The Corporate Policy Statement, service specific policies, procedures and systems of work and safety arrangements are in place and routinely reviewed.</p> <p>BCC has a Corporate Health and Safety Management System (CHaSMS) to identify and monitor hazards, risks and appropriate actions. Each manager (with staff and /or premises responsibilities) have an action plan which is completed by all Managers on a quarterly basis. Once completed the (HS&W) team check the returns, and give relevant feedback to the individual Managers and report the overall results to Senior Management.</p> <p>The accident/Incident reporting procedure is in place to monitor injury to colleagues and communicated. All incidents are subject to the investigation procedure to reduce potential for recurrences.</p> <p>Corporate procedures and a risk assessment pro-forma exist for core safety functions including arrangements for fire risk assessment of all workplaces. A register is in place for potential asbestos exposures. We have reviewed and further invested in statutory health surveillance equipment and training and a programme of work in place within council housing post Grenfell.</p> <p>BCC has a programme of e-learning and personal face to face course delivery available to all staff and members. Ongoing specific training on H&S and excessive pressure/ personal resilience is also available. Stress management training and stress risk assessment training is available for managers and employees.</p> <p>An independent occupational health support (NHS Avon Partnership Occupational Health Service) is in place to provide advice, employee support, management medical opinion and advice to support managers dealing with employee ill-health and absence. A pre-employment health screening service is in place to ensure reasonable adjustments are identified to support employees and also an HGV driver medical support service. A confidential Employee Assistance Programme, Wellbeing telephone helpline operates (24hrs / 7 days a week); this programme also includes a range of Wellbeing information via a website. Partnerships with external providers of counselling and physiotherapy services are in place to provide fast-track access to these services. The council is routinely monitoring these services.</p> <p>The Intelligence network including the Corporate Safety Information System is in place to share details of the addresses to the Citizens of Bristol considered to present risks to staff.</p> <p>Corporate Health and Safety is reported to the Leadership team quarterly using the CHaSMS to help monitor compliance.</p> <p>BCC also has a system of Trade Union Consultation with Health and Safety trained Representatives.</p> <p>Benchmarking and annual reports are provided to BCC along with the annual performance report.</p> <p>All contracts set up with external providers include checking their relevant Health and Safety competency.</p> <p>The councils audit programme monitors compliance with statutory duty and best practices.</p>	↔	3	7	21	<p>A revised electronic accident /incident database will be launched in April 2019 which will inform on the annual report and action plan.</p> <p>A revised approach to Health and Safety compliance will be reviewed and aligned to the Corporate H&S Management System (CHaSMS) by April 2019.</p> <p>A review of H&S serious cases will be completed in September 2018.</p> <p>A review of the Directorate H&S Co-ordinators Group (DHSWCG) and its reporting of H&S issues will be carried out by September 2018.</p> <p>The programme of work post Grenfell which will be further developed in line with any emerging themes/outcomes from the Public Enquiry.</p>	1	7	7
Risk Owner: Executive Director Growth and Regeneration and CLB.	Action Owner: Executive Director Growth and Head of Health, Safety and Wellbeing.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR5: Business Continuity and Councils Service Resilience.</p> <p>If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities then the impact of the event maybe increased with a greater impact on people and council Services.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Strikes (People, Fuel). • Loss of key staff (communicable diseases and influenza epidemics) • Loss of suppliers. • Loss of accommodation to deliver key services. • Loss of equipment. <p>Any event which may cause major disruption.</p> <ul style="list-style-type: none"> • Unavailability of IT and/or Telecoms. • Loss of staff /staff availability. • Knowledge loss. • Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment. 	<p>The council has a Corporate Resilience Group (CRG) supported by directorate representatives meet quarterly to overseeing the council's Business Continuity arrangements and to receive significant risks outside council Control which are reflected on the Local Resilience Forum Community Risk Register.</p> <p>A number of Policies and procedures are in place including the Business Continuity Policy (September2016) which was communicated to relevant staffs. The Incident Response Plan updated in July 2017.</p> <p>Service Business Continuity Plans are place as at January 2018 the plans undergoing a refresh in 2018.</p> <p>An Incident Management Team training session is planned for September 2018.</p> <p>A Senior Management on-call rota has been devised agreed and is regularly monitored.</p> <p>A successful annual recovery exercise Day Two was carried out 25th May 2018 and relevant improvements are being built into the wider council arrangements and will be briefed to the CRG.</p> <p>(See CRR2 for IT Infrastructure risk page 2 and CRR7 for Cyber-attack and its implications page 7).</p>	↔	3	7	21	<p>The Business Continuity Policy is planned to be reviewed in November 2018.</p> <p>The Corporate Business Continuity Plan will be reviewed in December 2018.</p> <p>A review of Service Level Business Continuity Plans will be carried out by January 2019. We are introducing a quality assurance approach for our business continuity plans to emphasise service accountability.</p> <p>The Businesses Continuity Working Group will be refreshed within the year and we are currently drafting a plan for future exercises to test different elements of BCC Business Continuity arrangements with partners.</p> <p>Business Continuity refresher training is planned for November/December 2018.</p>	1	7	7
Risk Owner: Acting Executive Director Communities.	Action Owner: Civil Protection Manager.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation, Wellbeing.						

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR6: Fraud and Corruption.</p> <p>Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times. • Not keeping up to date with developments, in new areas of fraud. <p>Insufficient risk assessment of new emerging fraud issues.</p> <p>Lack of clear management control of responsibility, authorities and / or delegation.</p> <p>Lack of resources to undertake the depth of work required to minimise the risks of fraud /avoidance.</p> <ul style="list-style-type: none"> • Under investment in fraud prevention and detection technology and resource. 	<p>We are continually improving the comprehensive system of control which aims to prevent fraud and increase the likelihood of detection. This includes a strong and robust policy on anti-fraud, corruption and bribery.</p> <p>We take a strong stance when fraud is found and seek financial recovery through a strong and effective counter fraud team.</p> <p>The team concentrates on areas of high fraud risk, investigates fraud promptly where suspected and sanctions appropriately. By, investing in specialist fraud prevention and detection software and utilising cross organisation data to minimise the council's exposure to fraud risk and aid early detection / prevention. An accessible route to report suspected fraud is available to both the public and employees via a Whistleblowing Policy Anti-Fraud, Bribery and Corruption Policy and web page. This ensures that the council's financial systems accurately record the financial transactions and robust control processes are in place which maximise the opportunity to prevent and detect fraud or inaccuracies.</p> <p>Employees are aware of probity standards expected of them via an Employee Code of Conduct, improving awareness of fraud and compliance through a process of reminders about ethics and conduct, fraud awareness training and other publicity, continual maintenance of Counter Fraud information on Web pages and monitoring and review of the effectiveness of the Counter Fraud Arrangements.</p> <p>Key Counter Fraud Objectives were defined for 2018/19.</p> <p>Counter Fraud Performance is monitored by Audit Committee via the Annual Counter Fraud Update, periodic Internal Audit Updates and the Annual review of arrangements against CIPFA Count Fraud Assessment Tool. Improvements are highlighted an action plan which is monitored by Audit Committee.</p>	↔	3	5	15	<p>We are monitoring fraud indicators (warning signs and fraud alerts) to ensure anti- fraud approach is correctly targeted.</p> <p>Capacity and priorities within Internal Audit are to be re-considered. The scale of whistleblowing/fraud referrals received is impacting on the team's ability to deliver preventative work and proactive fraud work which returns savings and other benefits to the council.</p> <p>Legal and financial support arrangements for Counter Fraud work are to be reviewed to ensure recoveries are maximised.</p> <p>The availability, costs and benefits of fraud prevention technology will be reviewed for potential future investment decision.</p> <p>A corporate project to deliver fraud and avoidance savings by March 2019 by improved use of data will be established. We will review of bribery and corruption fraud controls.</p>	2	5	10
<p>Risk Owner: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.</p>	<p>Action Owner: Acting Director of Finance and Chief Internal Auditor.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Internal and External Business Continuity and Civil Contingency Risks								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CCR7: Cyber-attack threats and implications.</p> <p>There could be a risk if the IT service areas are unable to protect the organisation from a successful Cyber-attack, which could impact on data integrity/loss of operational systems across the City Council. This may be due to a successful deliberate or accidental infection of council systems with malware or other intrusive or destructive virus. (e.g. 'Phishing' scam) leading to loss or unauthorised access to sensitive business data, deliberate or accidental leak of sensitive information into the public domain, system security arrangements impacted, intelligence availability on latest security arrangement/threats.</p> <p>The impact could result in critical services and business as usual activities could be seriously disrupted, impacting on the services delivered, potential Data protection breach, the cost of recovery from Cyber event the impact on colleagues or citizens due to their personal information being obtained along with Information Commissioners (ICO) Sanctions, financial, legal and reputational implications for the council.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Successful deliberate or accidental infection of council systems with malware or other intrusive or destructive virus (e.g. 'Phishing' scam). • Successful deliberate or accidental leak of sensitive information into the public domain. • System security arrangements not maintained or updated on a timely basis. • Lack of information or training on latest security arrangement / threats. • Human error through lack of training or poor process design. 	<p>The Information Security Policy as revised in August 2016 and the BCC systems have been reconfigured in line with best practice security controls proportionate to the business information being handled.</p> <p>Systems are risk assessed and reviewed to ensure compliance is maintained as a multi layered defence. The Policy, assessment is subject to a formal annual review. External reviews of the council's Security Compliance is carried out to maintain accreditation and confirm best practice and applied annually.</p> <p>An information security risk assessment was completed to identify risks, lessons learnt and an action plan developed. This assessment and plan informs on the Internal Audit plan for 2018/19.</p> <p>Electronic Communications Users Policy, Virus reporting procedure and Social Media Guidelines are in place.</p> <p>Staff/Members and Partner information security training is provided and ongoing. 'Enterprise phishing' training was carried out in 2017.</p> <p>BCC has in place external third party IT support for incident management.</p> <p>We monitor threats, network behaviours and data transfers to seek out possible breaches and take appropriate action.</p>	↔	3	5	15	2	5	10
Risk Owner: Section 151 Officer, Acting Executive Director Resources.	Action Owner: Interim Director IT, Resources.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.		

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR8: Service Review.</p> <p>The organisation is not able to redesign its leadership team quickly enough, which may result in a reduction in staffing levels. The loss of experienced and skilled staff will have an impact on service delivery, and on remaining staff.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Staff leaving due to service redesign, reduction/ceasing of some service areas, automation of processes, pace of change, efficiency/savings requirements. Poor morale due to the impact of change and the working environment. Potential increased staff sickness levels. 	<p>A senior management restructure is almost complete which will bring permanency and stability for the leadership team.</p> <p>A new Leadership Framework sets out the leadership behaviours and qualities expected of our managers and aspiring managers. Applicants for senior leadership roles are tested against these qualities.</p> <p>An organisation-wide leadership development and engagement programme will support colleagues during the time of transition. The Leadership Framework will be rolled out to provide support to enable our staff to become confident and supportive leaders for our workforce.</p> <p>To promote a positive culture within the organisation, a set of organisation values and behaviours has been created in collaboration with staff focus groups; this will help set the tone of the organisation and assist, in conjunction with the Corporate Strategy priorities, in providing clarity of purpose. It will link directly through to a new performance framework that will provide clarity to staff about the expectations and how their work contributes to the success of the organisation. This will feature in the Workforce Plan which is currently being drafted.</p> <p>Learning and development is available to support staff to meet the expectations of the organisation.</p> <p>The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.</p>	↑	3	5	15	<p>The senior leadership restructure is complete with recruitment underway for remaining vacant roles. A full permanent team will be in place by January 2019 and appropriate arrangements are in place to cover vacant roles whilst we are recruiting.</p> <p>The organisation values and behaviours have been adopted as part of Corporate Strategy and are being rolled out to all employees via team workshops.</p> <p>A new Leadership Framework is in place and used as the assessment framework to recruit new senior leaders against.</p> <p>A development programme for the new team is in the planning stages - to help the new team work effectively together.</p> <p>A leadership development programme is underway for team leaders and managers (4/5 tiers), with 148 currently on the programme and further intakes to follow. Leadership development planning is underway for third tier managers.</p> <p>Learning and development support is available to all staff to help them develop their skills and confidence in their roles.</p> <p>A performance appraisal cycle is underway for 2018/19 with individual objectives set against business plan objectives from the Corporate Strategy. A new approach to performance and talent management is being developed for launch in April 2019.</p> <p>We continue with regular communication briefs with staff and key stakeholders to keep them up to date with organisational priorities and progress on recruitment of the senior leadership team.</p> <p>The developing Workforce Plan will detail the actions we will take to meet the future needs of the organisation and equip colleagues to contribute to the delivery of the corporate strategy priorities.</p>	2	5	10
Risk Owner: Head of Paid Service.	Action Owner: Director of Workforce Change.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Wellbeing.				

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR9: Safeguarding Vulnerable Children.</p> <p>The council fails to ensure adequate safeguarding measures are in place, resulting in harm or death to a vulnerable child.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Safeguarding arrangements do not meet the requirements of the Children Act and associated legislation, guidance and regulations. Inadequate controls result in harm. Poor Management and operational practices. <p>Demand for services exceeds its capacity and capability.</p> <p>Inability to recruit/retain social care staff in competitive market.</p> <p>Poor information sharing.</p> <p>Strategic commissioning arrangements do not meet identified need and our ability to commission safe care for children is impaired.</p>	<p>We provide regular analysis of performance and reporting to Cabinet Members and Directors regarding safeguarding performance and progress.</p> <p>The Safeguarding Children’s Board provides independent scrutiny of children’s safeguarding arrangements in the city and holds BCC and partner agencies to account.</p> <p>There has been a review of arrangements to meet the Prevent Duty and the Safer Bristol Board has adopted an Improvement Plan to deliver better outcomes in service provision quality and safety.</p> <p>BCC works with partners to effectively identify victims and perpetrators of CSE and take action to disrupt and protect.</p> <p>Multi Agency Public Protection Arrangements are in place (MAPPA) with BCC contributors at every level to support family safeguarding.</p> <p>The Safeguarding and Quality Assurance Service has been remodelled to secure additional capacity (Independent reviewing officer and Child Protection Chairs) and has the Local Authority Designated Officer for allegations against people who work with children.</p> <p>Comprehensive training and development offer, together with publication of Bristol’s policies and procedures and monthly professional supervision help ensure safe practice and adequate control of risks. This is monitored and tested through a performance framework and quality assurance framework.</p> <p>Based on analysis and self-evaluation a transformation and improvement plan are in place to address areas identified for improvement (these incorporate actions in response to learning from Ofsted Inspections, Peer Review, Serious Case Review, complaints and other feedback received).</p> <p>For children with complex needs and disabilities, management and practice arrangements have been strengthened.</p> <p>Bristol’s Strengthening Families transformation programme is taking a whole system approach to meeting the needs of children and families at the earliest point. In this way we aim to manage demand and maintain capacity within the system. Universal services may be supported by early help and targeted services, including a team around the school offer.</p> <p>Bristol has an active strategy in place to attract, recruit and retain social workers with a particular emphasis on recruiting and retaining excellent, experienced social workers. The Management Team monitors social work vacancies and agrees strategies for urgent situations. Competent agency social workers and managers are used on temporary basis to fill vacancies. A number of further measures are being progressed with the aim of improving the retention of social workers. A robust social worker caseload monitoring framework is in place.</p> <p>Information sharing protocols are in place with services taking action to comply with GDPR where sensitive data is stored/processed.</p> <p>Children’s strategic commissioning team have a work plan in place.</p> <p>BCC commissioners work closely with operational services to identify need and ensure appropriate service commissioning.</p> <p>Due diligence and quality checks of all commissioned services for vulnerable children are in place.</p>	↔	2	7	14	<p>Safeguarding Board and related arrangements are under review, with the aim of improving efficiency and effectiveness, and ensuring robust governance arrangements continue to hold multiagency partners (inc. BCC) to account.</p> <p>Ongoing action is being taken to extend information sharing arrangements and improve response to children at risk of criminal exploitation and going missing following CSE/Missing National Working Group recommendations.</p> <p>Under the delivering of Strengthening Families Programme we have an ongoing plan to:</p> <ul style="list-style-type: none"> Reduce caseloads of social care practitioners. Ensure purposeful practice that supports Children to live safely within their families and provide local authority care for those who need it. Ensure effective management oversight is evident on all children’s records. <p>Measures to improve recruitment and retention of Social Workers will be presented through the Decision Pathway in September 2018.</p> <p>This should allow us to work proactively where poor practice is identified.</p>	1	7	7
<p>Risk Owner: Executive Director, Adults, Children and Education.</p>	<p>Action Owner: Director for Children’s and Families Services.</p>	<p>Portfolio Flag: Children and Young People.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>						

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Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR10: Safeguarding Vulnerable Adults.</p> <p>The council fails to ensure adequate safeguarding measures are in place, resulting in harm or death to a vulnerable Adult.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Adequacy of its controls. • Management and operational practices. • Demand for its services exceeded its capacity and capability. • Poor information sharing. • Lack of capacity or resources to deliver safe practice. <p>Failure to commission safe care for vulnerable adults and the elderly.</p> <p>Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.</p>	<p>The Safeguarding Vulnerable Adults Board is an independent scrutiny board led by BCC working in partnership with key agencies. There has been a multi-agency led review of existing arrangements led by BCC in light of the new Prevent Duty and the Board has adopted an Improvement plan to deliver better outcomes in service provision quality and safety. The Board is now on a statutory footing following implementation of the Care Act 2014. The Multi Agency Public Protection arrangements are in place (MAPPA) and BCC and the multi-agency Board work in conjunction with the Learning Disability and Mental Health services.</p> <p>The Bristol Safeguarding Adults Board Learning and Development Competence Framework has been reviewed and will be reviewed on an annually basis to ensure continued best practice.</p> <p>Safeguarding improvement plans are in place for Older People, Physical Disability and Disabled Children and the Capacity framework for safeguarding and the mental capacity act have been introduced. The Adult Change Programme ' Better Lives' - Transforming Care Programme has been established to implement policy objectives of moving people into more suitable care settings.</p> <p>We have in place an active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. The Adult South West Recruitment and Retention Strategy has been drafted, the risks and costs identified. The strategy will be presented through the Decision Pathway. Regular strategies and campaigns support the recruitment and retention of high calibre social workers and managers, with competent agency social workers and managers used on temporary basis to fill vacancies.</p> <p>All key staff working with people directly at risk are trained in the essentials of safeguarding and BCC has an ongoing awareness-raising 'Prevent' training programme.</p> <p>Regular reporting on safeguarding is taking place quarterly for Directors and Cabinet Members, with an annual report for elected Members to allow for scrutiny of progress. The quality assurance framework and performance framework is routinely monitored and reported on.</p>	↔	2	7	14	<p>The Adults Major Change programmes (Better Lives) launched in Autumn 2017 and led by Bristol City Council involving all partners with a safeguarding responsibility will be reviewed in November 2018.</p> <p>Under delivering of Better Lives Programme we are reducing caseloads, ensure purposeful practice that supports Adults and elderly people to have safety within their families and provide local authority care for those who need it and ensuring effective management oversight.</p> <p>We are increasing capacity this year in the commissioning team to lead on monitoring quality in the care sector.</p>	1	7	7
Risk Owner: Executive Director, Adults, Children and Education.	Action Owner: Interim Director - Adult Social Care.		Portfolio Flag: Adult Social Care.			Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.			

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Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level			
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating	
<p>CRR11: Bristol City Council (BCC) Infrastructure Delivery.</p> <p>If the council fails to prioritise infrastructure investment and resources, has inconsistent policies and attitudes, and has no bargaining power regionally or with central government; there is a risk that inward investment will be reduced, making it difficult for the council to realise its strategic priorities, ensure assets are efficient and fit for purpose in meeting current and future demand and support development of the local area.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> No clear strategic direction and objective set for the Property estate. Services and resources (human and financial) are not fully aligned and/ or controlled to deliver the objectives. Failure to deliver the level of anticipated Capital Receipts. Leadership capacity, engagement and capability are insufficient to drive change and transformation within the council. Resources are poorly managed, short term approach being adopted or are not contributing fully to council priorities; resulting in agreed outcomes and objectives not being fully achieved. Ineffective collection, integrity and use of data and information. Infrastructure Condition and suitability of overall asset base is not being used or managed efficiently or effectively. Lack of joined up planning, decision making and effective project management. Ineffective collection, integrity and use of data and information. Reduced public sector funding impacting on the resources available. Currently a more uncertain future due to Brexit. 	<p>Governance arrangements have been established through the Growth and Regeneration Board (G&RB) and the Strategic Property Review Group both launched in Q4. 2017/18 to enable the integration of thinking about property with financial, regeneration and other considerations and enhance reporting of asset disposal plans and progress.</p> <p>The G&RB have identified a number of areas of growth and regeneration (AGR) across the City during Q4. 2017/18 to enable place shaping including contributing to regeneration activity, affordable housing, community building and the financial sustainability of the council.</p> <p>Prioritisation of AGR is underway by the G&R Board.</p> <p>The Strategic Property Review Group (SPRG) was established in January 2018 and meets on a monthly basis. The SPRG identified the need for an Operational Property Group in March 2018.</p>	↔	2	7	14				
<p>Risk Owner: Section 151 Officer, Executive Director Growth and Regeneration.</p>	<p>Action Owner: Executive Director Growth and Regeneration.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>What we are doing</p> <p>The Operational Property Group (OPG) as a sub-group to the Strategic Property Review Group (SPRG) is to be launched to unlock the value of assets, seek efficiencies through joint arrangements with public sector partners and maximise private sector investment. Actions are now being progressed through the work of the SPRG and (from April/May 2018) through OPG which will have a Corporate Landlord role to ensure the ownership of an asset and the responsibility for its management; maintenance and funding are transferred to a centralised corporate crosscutting group by end June 2018.</p> <p>Recruitment of specialist an Asset Management Plan specialist resource commenced in April 2018.</p> <p>The Develop strategies and Implementation plans that ensure the property portfolio remains a major asset in supporting the achievement of corporate aims and objectives will be complete by end March 2019.</p> <p>Development and implementation of a Property Asset Management Strategy - DWG decision (04/04/2018) to recruit specialist Asset Management Plan (AMP) resource to develop the outline business case by July/August 2018 and to inject pace into the production of the AMP the current estimated timescale for completion of the AMP by end March 2019.</p> <p>We are proactively supporting the development of a local development strategy to appropriately reflect Bristol's Infrastructure in line with the Governments grand challenges by March 2019.</p> <p>Recruitment of sufficient resources, to ensure the capacity and skills required are available to enable the objectives from the estate to be delivered will be ongoing.</p>				1	5	5

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Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR12: Civil Contingencies and Resilience.</p> <p>If the City has a Major Incident, Contractor Failure or the council inadequately responds, then the impact of the event may be increased with a greater impact on people and businesses.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Major incidents due to factors such as fire, floods, subsidence and extreme weather. Civil disorder or terrorist attack. Major infrastructure failure. Failure of a large main or term contractor. Lack of preparation and foresight. Lack of investment in preventative or responsive measures. Lack of a contingency/business continuity plan. Lack of effective communications. Lack of skilled staff. 	<p>The Avon and Somerset Local Resilience Forum (LRF) is a legally required multi-agency partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire. The Avon and Somerset LRF to drive work identified by risk and impact based on Avon and Somerset Community Risk Register. Key roles of the group includes: Intelligence gathering and forecasting, regular training exercises and tests, Task and Finish groups addressing key issues, procedure, plan writing and capability building and a multi-Agency recovery structure is in place.</p> <p>Bristol is working with Avon and Somerset Local Resilience Forum (LRF) together with personnel as an integrated and co-located team to deliver enhanced emergency planning and business continuity along with Avon and Somerset Local Health Resilience Partnership is to ensure a coordinated health services and Public Health England and planning, response is in place.</p> <p>A system is in place for ongoing monitoring of severe weather events (SWIMS).</p> <p>Emergency planning training has been rolled and a multi-agency exercise is regularly conducted to test different elements of BCC emergency arrangements with partners the most recent exercises being Dark Zodiac April 2018 and Saxon Resolve November 2017.</p> <p>A senior management on-call rota has been devised, agreed and is monitored. Emergency Reservists have been recruited to aid emergency responses.</p> <p>External IT security incidents are logged and reviewed from an IT and wider Information Governance perspective.</p> <p>Local procedures have been established and are being continually reviewed and refined for when the national threat level increases to critical. This includes an update of the Corporate Business Continuity Plan.</p>	<p>↑</p>	2	7	14	1	7	7
Risk Owner: Acting Executive Director Communities.	Action Owner: Civil Protection Manager.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation, Wellbeing.					

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Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR13: Financial Framework and MTFP.</p> <p>Failure to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Inadequate budgeting & budgetary control/Financial Settlements & wider fiscal policy changes: <ul style="list-style-type: none"> The potential for new funding formulas such as fair funding, business rates retention, new national funding formula for schools and High Needs to significantly reduce the government funding available to the council alongside possible increase in demand for council services. Political failure to facilitate the setting of a lawful budget. Unable to agree a deliverable programme of propositions that enable the required savings to be achieved. Insufficient reserves to mitigate risks and liabilities and provide resilience. Rising inflation could lead to increased costs. Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income. Brexit - the general uncertainty affecting the financial markets, levels of trade & investment. Judicial review. 	<p>BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets have been updated.</p> <p>The council has developed a strong rolling Medium-term financial planning process to enable the strategic objectives and statutory duties are met. We are working to ensure a rigorous structure exists to oversee the budgetary control process from budget setting through to monitoring, oversight and scrutiny including:</p> <ul style="list-style-type: none"> The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial risk. Financial Regulations and Financial Scheme of Delegation is in place. Regular in-year monitoring and reporting, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered. 2018/19 Budget and Capital Programme agreed by Full Council in February 2018 with agreed savings programme and outline capital programme to 2023. Medium Term Financial Strategy agreed by Cabinet in July 2017 and refreshed annually detailing savings, growth, and risks. The Mid-Year Treasury Report for 2017/18 presented to Audit Committee and Full Council in accordance with the Council's Treasury Management Process. Challenge meetings to challenge 2018/23 budget process are ongoing. The ongoing production of a programme of propositions that exceed the forecasted budget gap to provide members with options and headroom for variations in financial estimates. Changes to propositions are maintained in the DWG Tracker. The ongoing agreement of initial budget, proposals and key assumptions by Corporate Leadership Board and Executive and submission to scrutiny. The ongoing assessment of the adequacy of general reserves and any specific reserve which takes into account an assessment of the risks related to the budget estimates and financial/economic climate. The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions. 	<p>↑</p>	2	5	10	1	7	7
<p>Risk Owner: S151 Officer and Director of Finance.</p>	<p>Action Owner: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>					

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR14: Information Governance.</p> <p>Introduction of the General Data Protection Regulations (GDPR).</p> <p>If the City Council fails to prepare for successful implementation of the General Data Protection Regulations (GDPR) then it may fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Failure to adequately plan for the implementation of the GDPR being introduced in May 2018. • Failure to invest in the required systems, equipment and posts required to implement these regulations. • Failure to adequately train staff in the requirements of the regulations. • Lack of resource (capacity or expertise) to manage Subject Access Requests. 	<p>A project team was put in place November 2017 and a plan developed around the Information Commissioners Office (ICO) 12 step plan January 2018. A 'Senior Information Risk Owner' was appointed (SIRO) February 2018 and Project Manager in November 2017, funding for additional Project Resource was approved by Statutory and Policy Board, April 2018. An informed Health Check with a supporting action plan was put in place February 2018 refocussing the project on essential elements of compliance for 25 May 2018. An Assurance Group is in place to support the SIRO and will continue to meet to manage and monitor the plan. The Extended Director Management Team has been briefed and weekly progress updates provided.</p> <p>The Data Protection/ Data Retention Policies have been updated and Data Protection (DP) guidance has been revised. The Data Protection Officer is in post and the Statutory Data Protection Officer has been appointed Q4. 2017/18. We have reviewed and implemented the Privacy Impact Assessment process and updated data sharing agreements with external partners and written to 1,200 highest risk suppliers to advise changes to contract.</p> <p>A Data Protection Audit of Personal Data held has been carried out and the Record of Processing Activities (ROPA's) completed.</p> <p>Interim improvements have been made to the Subject access request process to centralise the receipt of requests. The anticipated increase in requests has not yet materialised and improvements have been made to the way Data breaches are reported.</p> <p>Support has been provided to schools including a brief, guidance and templates and access to a data protection lawyer. Assurance that GDPR companies and schools are compliant was reviewed in Q4. 2018 and is ongoing. Members have been briefed and template ROPA's and Privacy Notices provided in Q4. 2017/18.</p> <p>A staff E-Learning package was launched and 99.9% of staff completed this. A training package was also been launched for staff who do not have access to ICT systems. New notices have been made available on the council web site detailing how we use personal data in a more transparent manner.</p> <p>Communication has been via the Source with council wide GDPR Communication in May 2018 as well as the ask GDPR mailbox, twice weekly drop-in sessions and the intranet - Source page has been updated with guidance, templates and examples for GDPR actions.</p> <p>There is regular reporting to the Cabinet Member for Finance, Governance and Performance, Deputy Mayor Cllr. Cheney, on progress against GDPR plan with updates provided to the Audit Committee quarterly.</p>	<p>↑</p>	2	5	10	<p>We have made significant progress on compliance with the General Data Protection Regulations (GDPR). Our next steps are to deliver a Business Case to the Statutory and Policy Board (SPB) in June 2018.</p> <p>This risk has improved within the quarter and will be moved to the Resources Directorate Risk Register to continue to be managed and monitored.</p>	2	3	6
<p>Risk Owner: Senior Information Risk Owner (SIRO).</p>	<p>Action Owner: Senior Information Risk Owner (SIRO) and GDPR Project Manager.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

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Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR15: Financial Deficit.</p> <p>The council's financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council's reserves policy.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • A failure to appropriately plan and deliver savings unscheduled loss of material income streams. • Increase in demography, demand and costs for key council services. • The inability to generate the minimum anticipated level of capital receipts. • Insufficient reserves to facilitate short term mitigations, risks and liabilities. <p>Interest rate volatility impacting on the council's debt costs.</p>	<p>BCC's Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting. New spend decisions and borrowing is only supported where the source of revenue resources to meet the costs is clearly identified and availability confirmed by Finance. Getting our accounts produced on time and without audit qualification is important to ensure that we can properly account for the resources we have used during the year.</p> <p>Corporate Revenue Monitoring Reports with identified risks are reported to Cabinet, overspending departments prepare action plans with responsible Directors identified.</p> <p>The ongoing review and due diligence of all budget savings by Delivery working Group and Delivery Executive, Corporate Leadership Board and the Executive. The pipeline of propositions to be incorporated into the DWG tracker, due diligence undertaken and subject to DWG/DE governance and assurance process.</p> <p>The ongoing regular monitoring reports to Corporate Leadership Team and Cabinet management reports setting out progress on delivery of savings and other risks and opportunities in addition to the forecast expenditure.</p> <p>We have continual oversight and ongoing management of the council's financial risks.</p> <p>Internal audit also undertakes a number of reviews of our financial planning and monitoring arrangements.</p>	↔	2	5	10	<p>A review of robustness of forecasting in light of YTD run rates and other associated evidence.</p> <p>Budget Improvement – The executive will review service recovery/delivery plans, options for mitigation and their viability, risk and priority outcome implications - both immediate and the wider MTFP impact.</p> <p>Where viable in year recovery/delivery plans cannot be achieved, Strategic Directors will report to the Mayor and Cabinet seeking a supplementary funding approval in accordance with the council's delegated executive approval powers (up to £1,000,000 for an area of activity).</p> <p>Where viable in year recovery/delivery plans cannot be achieved, Strategic Directors will report to prepared for Full Council (in accordance with the Budget & Policy framework) to seek agreement to a supplementary estimate (> £1,000,000 for an area of activity).</p> <p>We will seek agreement from the Executive of the alternative measures held in abeyance across other General Fund services e.g. which will be offset and advise all associated Strategic Directors appropriately.</p> <p>We will carry out a re-assessment of service delivery risks and opportunities and risk and other reserves.</p>	1	5	5
Risk Owner: S151 Officer and Director of Finance.	Action Owner: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR16: Leadership.</p> <p>If there is a lack of leadership or management skills then this could impact on performance and the ability to deliver positive change.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Loss of experienced managers. • New skills sets required to meet new challenges. • Poor communication regarding change and new initiatives. • Need to make savings / increase income. 	<p>A senior management restructure is almost complete which will bring permanency and stability for the leadership team.</p> <p>A new Leadership Framework sets out the leadership behaviours and qualities expected of our managers and aspiring managers. Applicants for senior leadership roles are tested against these qualities.</p> <p>An organisation-wide leadership development and engagement programme will support colleagues during the time of transition. The Leadership Framework will be rolled out to provide support to enable our staff to become confident and supportive leaders for our workforce.</p> <p>To promote a positive culture within the organisation, a set of organisation values and behaviours has been created in collaboration with staff focus groups; this will help set the tone of the organisation and assist, in conjunction with the Corporate Strategy priorities, in providing clarity of purpose. It will link directly through to a new performance framework that will provide clarity to staff about the expectations and how their work contributes to the success of the organisation. This will feature in the Workforce Plan which is currently being drafted.</p> <p>Learning and development is available to support staff to meet the expectations of the organisation.</p> <p>The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.</p>	↑	2	5	10	<p>The Senior leadership restructure is complete with recruitment underway for remaining vacant roles. A full permanent team will be in place by January 2019 and appropriate arrangements are in place to cover vacant roles whilst we are recruiting.</p> <p>The organisation values and behaviours have been adopted as part of Corporate Strategy and are being rolled out to all employees via team workshops.</p> <p>A new leadership Framework is in place and used as the assessment framework to recruit new senior leaders against. A development programme for the new team is in the planning stages - to help the new team work effectively together.</p> <p>A leadership development programme is underway for team leaders and managers (4/5 tiers) 148 are currently on the programme with further intakes to follow. Leadership development planning is underway for third tier managers.</p> <p>Learning and development support is available to all staff to help them develop their skills and confidence in their roles.</p> <p>A performance appraisal cycle is underway for 2018/19 with individual objectives set against business plan objectives from the Corporate Strategy. A new approach to performance and talent management is being developed for launch in April 2019.</p> <p>We continue with regular communication briefs with staff and key stakeholders to keep them up to date with organisational priorities and progress on recruitment of the senior leadership team.</p> <p>The developing Workforce Plan will detail the actions we will take to meet the future needs of the organisation and equip colleagues to contribute to the delivery of the corporate strategy priorities.</p>	1	5	5
Risk Owner: Head of Paid Service and CLB.	Action Owner: Head of Paid Service and CLB.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR17: Bristol City Council Strategy Management.</p> <p>The council fails to produce or embed a Corporate Strategy with clear links through to business planning and performance management, resulting in less effective implementation of policy, use of resources and/or partnership working.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Plans, policies, budget and/or resource not aligned to the Corporate Strategy. Significant changes in senior management roles and personnel results in lack of knowledge or a feeling of ownership in relation to the Corporate Strategy. 	<p>Full Council received and approved the Corporate Strategy 2018 - 2023 in February 2018.</p> <p>Cabinet received the BCC Business Plan 2018/19 to note in May 2018. This was based on key elements of Service Plans for every department.</p> <p>We have completed and approved the Performance Framework via Statutory and Policy Board in June 2018. The refreshed Performance Framework follows through the golden thread from Corporate Strategy through to KPIs and management information.</p> <p>Communications plan for embedding Corporate Strategy and Business Plans, including full briefing of all Tier 1 - 3 managers and inclusion in My Performance reviews for all colleagues.</p> <p>An ongoing review of the Medium Term Financial Plan (MTFP) and wider policy / strategy framework to check alignment with Corporate Strategy.</p>	↑	1	7	7	<p>We are rolling out the BCC Communications Plan throughout 2018/19 using many channels including face-to-face Management Brief sessions.</p> <p>The BCC policy and strategy framework will be reviewed in priority order with initial data collection complete. The nature of reviewing strategies across the council means it will be an ongoing process.</p> <p>My Performance reviews are being completed across the organisation and managers are briefed to link personal objectives to the outcomes set out in the Corporate Strategy and Business Plan.</p> <p>The Corporate Strategy is being explained to all new colleagues via the corporate induction process.</p> <p>The Statutory and Policy Board will receive quarterly reporting from Q2. 2018/19 on progress against the Performance Framework.</p> <p>A one-off 'good housekeeping' review of corporate partnerships is planned for Q2 2018/19, creating a refreshed database and reviewing partnership Terms of Reference and/or Service Level Agreements against the Corporate Strategy and emerging partnership governance model as part of the developing One City Approach.</p>	1	5	5
<p>Risk Owner: Section 151 Officer, Acting Executive Director Resources.</p>	<p>Action Owner: Acting Director: Policy and Strategy.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

Key internal and external Business Continuity and Civil Contingency Risks to note - Flooding and Brexit.

Corporate Risk Register as at June 2018 - Internal and External Business Continuity and Civil Contingency Risks									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>Flooding.</p> <p>There could be a risk of damage to properties and infrastructure as well as risk to public safety from flooding which may be caused by a tidal surge, heavy rainfall and river and groundwater flood events.</p> <p>Key potential causes are: Tidal surge, heavy rainfall, river and groundwater flood events. Impact of climate change. Lack of effective flood defences and preparedness for major incidents.</p>	<p>The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire.</p> <p>Bristol is working with the Avon and Somerset LRF to construct new sea defences around North Somerset, Bristol and South Gloucestershire, working with emergency services, local authorities and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments, providing guidance to members of the public about flooding, including flood warnings and what people can do to help themselves, regular maintenance and clearing programs of gullies and culverts, especially in the event of storm warnings.</p> <p>Bristol has in place a local Flood Risk Management Strategy approved at Cabinet in December 2017 which comprises of 5 keys areas and 43 separate actions in line with Environment Agency's national strategy.</p>	↔	3	5	15	<p>There is sustained resourcing and delivery of all actions in LFRMS over life of strategy. Strategy includes the following key projects:</p> <ul style="list-style-type: none"> Working in partnership with the Environment Agency to develop a Bristol Tidal Flood Risk Management Strategy to protect the city centre, including climate change. Working in partnership with South Gloucester and the Environment Agency to deliver a flood scheme to help protect Avonmouth Village and the Enterprise Area from tidal flooding, including climate change. 	3	3	9
Risk Owner: Director Transport.	Action Owner: Flood Risk Engineer, Strategic City Transport.	Portfolio Flag: Energy, Waste and Regulatory Services.			Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.				

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Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Internal and External Business Continuity and Civil Contingency Risks								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>Brexit.</p> <p>The uncertainty around Brexit (and the resulting 'deal') may have an impact on the local economy, local funding and delivery of council services. The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects.</p> <p>We may see a gradual slow down during period of uncertainty. A potential council impact (+/-) on: forward investment and EU funding which could reduce and could in turn impact on the council, the city's universities, LEP and the housing market, capital costs resulting from increased cost of labour which could slow business rates growth (Inflation risk is reflected within risk 2 and based on latest OBR predictions), workforce pressures e.g. social care providers, procurement costs, inflationary pressures caused by fluctuations in sterling value and potentially a loss of EU grants funding.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Gradual slow down during period of uncertainty. • Workforce pressures e.g. social care providers. • Inflationary pressures caused by fluctuations in sterling value. • Loss of EU grant funding. 	<p>The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects.</p> <p>The Mayor has in 2016 set up a city-wide response group to better understand the impacts of leaving the EU on our city which now operates virtually - with members updating us on sectoral impact and with the Public Affairs team we are working to ensure that Bristol's interests are represented in the Brexit negotiations, and that the city's voice is heard by UK Government. We have contributed to a national call for information by Government (handled by the Local Government Association (LGA)) seeking input on likely impact of Brexit in different regions. We have lobbied through the Core Cities network seeking clarity over how the Government plans to address the potential EU funding gap.</p>	↔	4	3	12	4	3	12
Risk Owner: Head of Paid Service, Executive Director ACE.	Action Owner: Acting Head of Policy and Public Affairs.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

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Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Performance Summary for 'Significant Risks' and 'Event' Risks			Quarter 4 January – March 17/18		Quarter 1 April - June 18/19		Quarter 2 July - September 18/19		Quarter 3 October - December 18/19		Quarter 4 January - March 18/19	
Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
CRR1	Long Term Commercial Investments	Executive Director Growth and Regeneration and Section 151 Officer, Acting Executive Director Resources	4x7=28	↔	3x7=21	↑						
CRR2	IT Infrastructure	Interim Director IT	3x7=21	↔	3x7=21	↔						
CRR3	Asbestos Management	Section 151 Officer, Acting Director Resources	3x7=21	↔	3x7=21	↔						
CRR4	Corporate Health, Safety and Wellbeing	Section 151 Officer, Acting Director Resources	3x7=21	↔	3x7=21	↔						
CRR5	Business Continuity and Council Resilience (Split with CRR3)	Executive Director Communities	3x7=21	↔	3x7=21	↔						
CRR6	Fraud and Corruption	Section 151 Officer, Acting Director Resources	3x5=15	↔	3x5=15	↔						
CRR7	Cyber-attack threats and implications	Interim Director IT	3x5=15	↔	3x5=15	↔						
CRR8	Service Review	Section 151 Officer, Acting Director Resources	4x5=20	↔	3x5=15	↑						
CRR9	Safeguarding Vulnerable Children (Split with CRR8)	Executive Director Adults, Children and Education	2x7=14	↔	2x7=14	↔						
CRR10	Safeguarding Vulnerable Adults (Split with CRR1)	Executive Director Adults, Children and Education	2x7=14	↔	2x7=14	↔						
CRR11	BCC Infrastructure Delivery	Executive Director Growth and Regeneration	2x7=14	↔	2x7=14	↔						
CRR12	Civil Contingencies and Council Resilience (Split with CRR2)	Executive Director Communities	3x7=21	↔	2x7=14	↑						
CRR13	Financial Framework and MTFP	S151 Officer and Director of Finance	2x7=14	↔	2x5=10	↑						
CRR14	Information Governance Introduction of the General Data Protection Regulations (GDPR)	Senior Information Risk Owner (SIRO)	2x7=14	↔	2x5=10	↑						
CRR15	Financial Deficit	S151 Officer and Director of Finance	2x5=10	↔	2x5=10	↔						
CRR16	Leadership	Acting Head of Policy and Public Affairs	4x5=20	↔	2x5=10	↑						
CRR17	Strategy Management	Acting Director of Policy and Strategy	2x7=14	↔	1x7=7	↑						

Business Continuity and Civil Contingency Events Risks to note	Risk Owner	Rating	Travel								
Flooding	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔						
Brexit	Head of Paid Service	4x3=12	↔	4x3=12	↔						

Risk Matrix

Likelihood	4	4	12	20	28
	3	3	9	15	21
	2	2	6	10	14
	1	1	3	5	7
		1	3	5	7
		Impact			

Level of risk	Action required by level risk	
28	Critical:	Action required. Escalate (if a Directorate level risk, escalate to the Corporate Risk Register. Escalate corporate risks to the attention of the Cabinet Lead to confirm action to be taken).
14 - 21	High:	Must be addressed. If Directorate level consider escalating to the Corporate Risk Register. If a corporate risk consider escalating to the Cabinet Lead.
5 - 12	Medium:	Action required, manage and monitor at the Directorate level.
1 - 4	Low:	May not need any further action / monitor at the service level.

Current and Tolerance risk ratings:

The 'Current' risk rating refers to the current level of risk taking into account any management actions, controls and fall back plans already in place. The 'Tolerance' rating represents what is deemed to be a realistic level of risk to be achieved once additional actions have been put in place. On some occasions the aim will be to contain the level of the risk at the current level.

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

LIKELIHOOD AND IMPACT RISK RATING SCORING

Likelihood Guidance

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
Description	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
Numerical Likelihood	Less than 10%	Less than 50%	50% or more	75% or more

Severity of Impact Guidance (Risk to be assessed against all of the Categories, and the highest score used in the matrix).

Impact Category	Impact Levels 1 to 7			
	1	3	5	7
Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Severe effect on service provision or a Corporate Strategic Plan priority area. Effect may require considerable additional resource but will not require a major strategy change.	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short term allocation of resources, and may require major strategy changes. The Council risks 'special measures'. Officer / Member forced to resign.
Communities	Minimal impact on community.	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
Financial Loss / Gain	Under £0.5m	Between £0.5m - £3m	Between £3m - £5m	More than £5m
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management (Including developing commercial enterprises)	Minor delays and/or budget overspend, but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends. No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends. Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project. Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation. Dissatisfaction reported through council complaints procedure but contained within the council. Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure. Higher levels of local or national interest. Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention. Viral social media or online pick-up. Public enquiry or poor external assessor report.

Decision Pathway – Report

PURPOSE: Non Key Decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Library Review										
Ward(s)	All										
Author: Kate Murray	Job title: Head of Libraries										
Cabinet lead: Councillor Asher Craig	Executive Director lead: Patsy Mellor										
Proposal origin: Mayor											
Decision maker: Cabinet Member											
Decision forum: Cabinet											
Purpose of Report: To update on the proposed library review											
Evidence Base: Your Neighbourhood Consultation 2017											
<p>The Libraries consultation comprised two questions; question 1 asked respondents about their preference for three options for which ten libraries should continue to be run by Bristol City Council; question 2 was a free text question which invited any other feedback on the changes to Bristol Libraries, including suggestions of a different way forward. The full report is available at the link in Appendix B.</p> <p>The savings from the library budget were £1.4m and linked to a reduction in the number of library buildings and the redesign of the library service with a new staffing structure and opening hours and were phased:</p>											
<table style="width: 100%; border: none;"> <tr> <td style="padding: 5px;">17/18</td> <td style="padding: 5px;">£300k</td> <td style="padding: 5px;">18/19</td> <td style="padding: 5px;">+£740k</td> <td style="padding: 5px;">19/20</td> <td style="padding: 5px;">+£360k</td> <td style="padding: 5px;">Total Annual Recurring</td> <td style="padding: 5px;">£1.4m</td> </tr> </table>				17/18	£300k	18/19	+£740k	19/20	+£360k	Total Annual Recurring	£1.4m
17/18	£300k	18/19	+£740k	19/20	+£360k	Total Annual Recurring	£1.4m				
<p>1. Bristol City currently has 27 libraries managed and run by Bristol City Council. Following consideration of the consultation responses, and further work being undertaken, it is proposed that these will all be retained by the council as statutory libraries; in the current locations, on the current opening hours, with the current staffing and the existing budget, while further community led options are investigated. A report will be brought back to Cabinet in October 2018 to detail how we will work with communities in that approach.</p> <p>2. It is proposed therefore that the savings targets previously set for the library services are removed to allow future options to be investigated.</p> <p>3. Following the consultation on budget proposals at the end of 2016, a budget saving for Bristol Libraries of £1.4m was agreed by Bristol’s Full Council in February 2017. As above, any shortfall in 18/19 will now be funded by the Mayor’s consultation reserves.</p> <p>4. All current libraries will remain open. This will ensure the full service remains in place whilst the service develops and investigates a community led offer that will enable communities to consider their community assets as a whole and how their libraries may fit within that model.</p> <p>5. The library service is statutory which means the local authority, Bristol City Council, have a legal duty to provide a service to those who live, work or study in the city. The Public Libraries and Museums Act 1964 states that, “It shall be the duty of every library authority to provide a comprehensive and efficient library service”.</p> <p>6. Work has been undertaken on a high level options appraisal for a future Bristol Library service operating in an alternative delivery model (e.g. Mutual, IPS or Trust). The appraisal was based on a hypothetical model of 10 libraries + 3 Extended Access Libraries. The recommendations in the appraisal can be addressed following a future cabinet decision if the service is changed.</p>											

7. We intend to provide an additional cabinet paper in October, to expand on how we will work with communities in developing their offer that would enable and support a future sustainable library service for Bristol.

8. Project management resource will be allocated by the programme management office to support the development of the October cabinet paper and proposals.

Recommendations:

That Cabinet

1. Note the outcome of the 2017 “Your Neighbourhood” consultation, available at the link in Appendix B.
2. Agree to retain the existing 27 libraries across the city with the current locations, library staff and opening hours to enable further options for a sustainable community model to be investigated and to report back to Cabinet in October 2018, where any options will not be based on a savings target
3. Approve removal of the savings identified for 18/19 and review the 19/20 position in line with the budget process.

Corporate Strategy alignment: From the Corporate Plan:

EC4 Prioritise community development and enable people to support their community.

City Benefits:

As this is a progress report that maintains the current service there are no changes to the current service.

Consultation Details: Citywide Your Neighbourhood Consultation June – Sept 2017 - Appendix B, public meetings, staff meetings, Scrutiny Task and Finish Group August to October 2017 and January – April 2018, Friends Groups and Campaigners meetings, Executive Board and Political Cabinet

Revenue Cost	£1.4m	Source of Revenue Funding	General Fund – Libraries, Property
Capital Cost	£	Source of Capital Funding	
One off cost <input type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice:

The Council agreed in February 2017 savings for the Library Service totalling £1.4m to be delivered over 3 years commencing 2017/18, with £1.04m scheduled to be delivered by the end of the current financial year. However, following the outcome of the budget consultation process during 2017, Cabinet subsequently agreed an additional one-off £540k for 2018/19. This was agreed to be funded from the Mayor’s consultation reserve, in accordance with the Full Council decision of 21st February 2017, pending finalisation of proposals.

This report seeks approval to retain the current arrangements for all 27 libraries across the City, and to report back to Cabinet in October on the evaluation of further options for a long term sustainable community model. Not continuing the savings in 2018/19 and reinstating the budget for the year will require a further drawdown of earmarked reserves of up to £500k. Provision exists within the balance of the Mayor’s consultation reserve, set aside for non-delivery of savings (£460k), plus £40k which can be earmarked from the 2017/18 General Fund underspend, as set out in the 2017/18 Outturn report presented to Cabinet on 5th June 2018. Any further one-off resources which may be required to undertake the options appraisal will also need to be provided for the balance of the 2017/18 underspend.

Any decisions beyond 2018/19 are subject to determination of the 2019/20 budget process, to be considered by Full Council in February 2019. This will need to be agreed within the parameters of the Council’s medium term financial strategy, within which the ongoing resource position for the period of the medium term financial plan will continue to be very challenging. There are likely to be both capital and revenue implications of any future operating model which will be evaluated as part of the review and reflected in a refreshed MTFP. Additional net revenue costs, in all likelihood, will require the identification of compensatory savings.

For 2017/18 savings in excess of the £300k were delivered by the libraries service – although primarily through one-off mitigations. Notwithstanding that, a detailed assessment should be undertaken to evaluate what, if any ongoing

savings are achievable under current operational arrangements. These will also be considered as part of the 2019/20 budget process.

Finance Business Partner: Chris Holme, Interim Service Manager Corporate Finance, 6/6/18

2. Legal Advice: There are no specific legal implications in this report.

Legal Team Leader: Sarah Sharland, Team Leader Litigation Regulatory and Community Legal Team 21/6/18

3. Implications on ICT: There are no ICT implications

ICT Team Leader: Ian Gale, Service Manager: Service Delivery and Integration, 21st June 2018

4. HR Advice: A number of employees in the Library Service were appointed on fixed term contracts pending the previously anticipated restructure. If the service retains 27 libraries a citywide managing change process may not be required, and the use of fixed term contracts across the service should be reviewed. Posts which have been held vacant pending the restructure can be considered for recruitment via normal BCC policy and procedure.

HR Partner: Celia Williams, People and Culture HR Business Partner 21 May 2018

EDM Sign-off	Patsy Mellor	29/5/18
Cabinet Member sign-off	Councillor Asher Craig	10/5/18
CLB Sign-off	Jacqui Jensen	29/5/18
For Key Decisions - Mayor's Office sign-off	Mayor's Office	7/6/18

Appendix A – Further essential background / detail on the proposal	NO
Appendix B – Details of consultation carried out - please see link https://www.bristol.gov.uk/documents/20182/1188753/Your+neighbourhood+2017/290ab75f-ff03-f4aa-3171-e657bda871b8	YES
Appendix C – Summary of any engagement with scrutiny – Report of the Task and Finish Group on Libraries – please see link https://democracy.bristol.gov.uk/documents/s16989/Appendix%20A%20Draft%20Report%20Libraries%20Task%20and%20Finish%20Group%20v4.pdf	YES
Appendix D – Risk assessment	NO
Appendix E – Equalities screening - Service	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers	NO
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO

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.

What is the proposal?	
Name of proposal	Library Review
Please outline the proposal.	To maintain 27 libraries with current locations and opening hours as status quo
What savings will this proposal achieve?	Proposed savings of £1.4m (Full Council Feb 2017). Savings now set aside
Name of Lead Officer	Kate Murray Head of Libraries July 2018

Could your proposal impact citizens with protected characteristics? (This includes service users and the wider community)
Please outline where there may be significant opportunities or positive impacts, and for whom.
After a considerable period of review the service will remain at status quo. The previous EQIA for the last review is still relevant as there will be no change to the current library network, current opening hours and current locations. https://democracy.bristol.gov.uk/Data/Cabinet/201509011800/Agenda/0901_6.pdf
Please outline where there may be significant negative impacts, and for whom.
Even with status quo, the service are mindful of continuing impacts because of the current pattern of opening hours and accessibility to citizens.

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.
As the service remains at status quo – there will be no changes to impacts or opportunities. The service is mindful of the impacts already considered in the 2015 full EQIA for the cabinet decision September 2015. https://democracy.bristol.gov.uk/Data/Cabinet/201509011800/Agenda/0901_6.pdf
Please outline where there may be negative impacts, and for whom.
The service is mindful of the impacts already in place from the previous review which

was agreed at cabinet in September 2015. All issues will be under review if further change is proposed at a later date.

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 – however a future cabinet paper with change proposed will require an additional relevance check and possible full EQIA

Service Director sign-off and date:

Equalities Officer sign-off and date:



Duncan Fleming 22/5/2018

Decision Pathway – Report

PURPOSE: Non Key Decision

MEETING: Cabinet

DATE: 03 July 2018

TITLE	Waste and Recycling Collection Methodology Review		
Ward(s)	All		
Author:	James Perkins	Job title:	Interim Strategic Waste Lead
Cabinet lead:	Cllr K Dudd	Executive Director lead:	Shahzia Daya
Proposal origin: <i>City Partner</i>			
Decision maker: Cabinet Member Decision forum: <i>Cabinet</i>			
<p>Timescales: Cabinet’s endorsement of the recommendations below in regards to Bristol City Council’s preferred method of household waste collections that shall allow Bristol Waste Company to progress its vehicle replacement programme to ensure new vehicles and enhanced public services are in place and operational by April 1st 2019. Due to the lack of change from the household waste collection methodology currently in place, a public engagement or consultation exercise will not be required in this instance</p>			
<p>Purpose of Report: To fully inform the Cabinet of the recommendations below in regards to household waste collection methodology in Bristol.</p>			
<p>Evidence Base: In 2017, BWC and BCC undertook a review of the current household waste collection methodology to fully inform the future procurement of a new collection vehicle fleet.</p> <p>This review identified the options available to the authority and each option was measured against its cost implication, health and safety implications, financial saving, increase in recycling performance, decrease in residual wastes, social inclusion issues and likely public reaction and satisfaction.</p> <p>The nationally endorsed WRAP consistency model was used and 12 different options were identified focusing on differing collection frequencies and methods of collections each of which were evaluated against the above criteria.</p> <p>The results of this exercise and the evaluation were summarized into reports and presented to Corporate Management and democratic groups along with forming an agenda point on Councillor briefing in late 2017 and throughout 2018 leading to the recommendation that a ‘Baseline+’ option was the preferred model.</p> <p>‘Baseline+’ is the collection option that provides;</p> <ul style="list-style-type: none"> • No change to residual household waste collection methodology or frequency of collections • No change in recycling waste collection methodology or frequency of collections with the exception that an additional recycling box will be provided to each household to provide additional capacity for recyclables. <p>This option provides the least level of disruption to the residents of Bristol, provides for a marginal cost saving the council and assists in increasing recycling performance.</p>			
<p>Recommendations: That Cabinet;</p> <ol style="list-style-type: none"> 1. Note the progress made in the delivery of this project. 2. Note the current system of waste and recycling collections from households in the City remaining unaltered with the exception that an additional recycling box is provided to each household to increase the available capacity for recycling. 			
Corporate Strategy alignment: The timely delivery of the vehicle replacement programme resulting from this			

decision and the operation of the subsequent collection methodology for household wastes shall be in line and compliant with all procurement and financial mechanisms and shall also assist in the achievement of the Councils strategic aims and objectives along with the statutory and non-statutory performance targets stated in all BCC strategic documents and policies.

City Benefits: Main benefit in keeping the collection methodology and service largely unchanged is that it does not introduce uncertainty or confusion to the public in knowing what they have to do in terms of waste and recycling collections. This proposal ensures that an equitable service can be maintained whilst allowing for performance improvements and enhanced services to be introduced in the future without any disruption to residents and service users.

Consultation Details:

The recommendation will be to adopt a slightly different methodology which will see the same method of collection, with the same frequency of residual waste collection, with the only change being the provision of an additional box to assist residents to increase their recycling capacity.

The common law duty of fairness requires Public bodies to consult in respect of proposals which will have an impact usually on service users. It is a matter of judgement as to whether this is required in any given case.

In this case, we discussed that a risk based approach could be taken and no consultation undertaken given the relatively minor changes proposed.

Revenue Cost	No additional	Source of Revenue Funding	General fund (as included in the approved BWC business plan)
Capital Cost	No additional	Source of Capital Funding	BWC Loan (as included in the approved BWC business plan)
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

- 1. Finance Advice:** The approval of the recommended collection methodology (baseline plus) will trigger a capital investment of £11.3m and is estimated to provide revenue savings in the region of £80,000 p.a. The revenue implications, savings and capital investments required for each of the options considered are included in the appendix (analysis provided by WRAP and commissioned by BWC).
- 2.** The capital requirement consists of £11m investment for fleet, configured to the recommended collection methodology, and £0.3m for issuing additional recycling containers for households. The financial implications, both revenue and capital, had been included in the company's business plan approved by cabinet in January 2018 and is reflected in the Council' MTFP. BWC will incur borrowing costs for the capital and the source of the borrowing would either be from the Council or from a market lender.

Finance Business Partner: Tian Ze Hao

Date: 14/06/2018

2. Legal Advice: The waste services agreement with Bristol Waste will need to be amended to reflect the changes set out in this report.

There are no public consultation issues associated with this proposal.

Legal Team Leader: Sinead Willis, Commercial and Governance Team Leader

Date: 18 June 2018

3. Implications on ICT: There may be some requirements to update the BCC website with revised information; if so, these will need to be identified and commissioned in a timely manner. There are no other identifiable BCC IT implications in this initiative

ICT Team Leader: Ian Gale 25th June 2018

4. HR Advice: It will be matter for Bristol Waste to manage any changes in working practices that may arise from the recommendations.

HR Partner: Mark Williams, 25th June 2018

EDM Sign-off

Zoe Willcox

24th January 2018

Cabinet Member sign-off	Councillor Dudd	27th February 2018
CLB Sign-off	Jacqui Jensen	20th February 2018
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4 th June 2018

Appendix A – Further essential background / detail on the proposal Appendix A is attached as a separate document and shows the detail of the project including impact onto budgets and performance	YES
Appendix B – Details of consultation carried out - internal and external	YES
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal	NO
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers	NONE
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO

Appendix A

Waste Collection Methodology Review.

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Cabinet – July 2018



Options

Option number	Option name	Residual		Dry recycling		Food		Garden	
		Frequency / vehicle	Container	Frequency / vehicle	Container	Frequency / vehicle	Container	Frequency / vehicle	Container
0	Baseline	Fortnightly - RCV	180 l wheeled bin	Weekly - RRV	x2 kerbside boxes	Weekly - collected with dry recycling in RRV	Food waste bin and kitchen caddy	Weekly - RCV	240 l wheeled bin, subscription
0+	Baseline PLUS	Fortnightly - RCV	180 l wheeled bin	Weekly - RRV	x3 kerbside boxes				
1a	Multi-stream with co-mingled recycling at flats	Fortnightly - RCV	180 l wheeled bin	Weekly - RRV	Low-rise: x3 kerbside boxes Flats: co-mingled				
1b	Multi-stream and 3 weekly residual	Three weekly - RCV	180 l wheeled bin	Weekly - RRV	x3 kerbside boxes				
1c	Multi-stream and 3 weekly residual, flat co-mingled	Three weekly - RCV	180 l wheeled bin	Weekly - RRV	Low-rise: x3 kerbside boxes Flats: co-mingled				
1d	Multi-stream recycling with smaller (140 l) residual bin	Fortnightly - RCV	140 l wheeled bin	Weekly - RRV	x3 kerbside boxes	Weekly - collected separately in dedicated food waste vehicles	Food waste bin and kitchen caddy	Fortnightly - RCV	
2a	Co-mingled recycling	Fortnightly - RCV	180 l wheeled bin	Fortnightly - RCV	240 l wheeled bin				
2b	Co-mingled recycling with smaller (140 l) residual bin	Fortnightly - RCV	140 l wheeled bin	Fortnightly - RCV	240 l wheeled bin				
2c	Co-mingled recycling and 3 weekly residual	Three weekly - RCV	180 l wheeled bin	Fortnightly - RCV	240 l wheeled bin				
3a	Two-stream (fibres separate)	Fortnightly - RCV	180 l wheeled bin	Fortnightly - 50/50 split back RCV	240 l wheeled bin for containers and 55 l box for fibres				
3b	Two-stream (fibres separate) and 3 weekly residual	Three weekly - RCV	180 l wheeled bin	Fortnightly - 50/50 split back RCV	240 l wheeled bin for containers and 55 l box for fibres				

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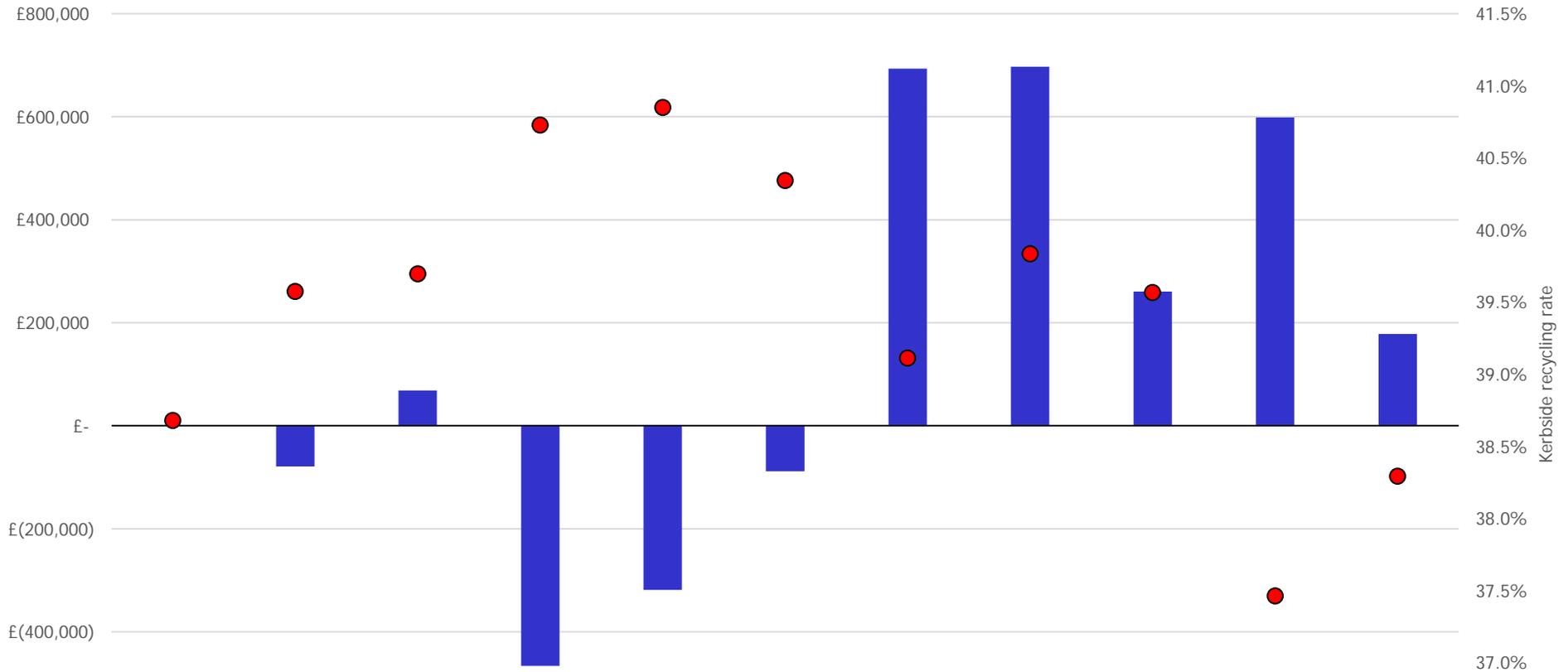
Options appraisal

Category	Weighting	Considerations	Guide	Baseline	Baseline PLUS	Option 1a	Option 1b	Option 1c	Option 1d	Option 2a	Option 2b	Option 2c	Option 3a	Option 3b	
Financial	25%	Annualised net cost	Annualised net cost in addition to Baseline. Score as deviation from the maximum (0 points) and minimum (10 points) annualised net costs calculated for each option.	6.0	6.7	5.4	10.0	8.7	6.7	0.0	0.0	3.8	0.8	4.5	
Recycling performance	15%	Tonnes recycled per annum	Tonnes recycled (dry recycling, food and garden, excluding contamination). Sliding scale from maximum (10 points) to minimum (0 points) tonnes recycled.	3.7	6.3	6.6	9.6	10.0	8.5	4.8	6.9	6.1	0.0	2.4	
Compliance	5%	High level TEEP compliance assessment	Consideration of TEEP, kerbside sort scores 10 points, twin stream scores 5 points and fully comingled scores 0. Options collecting doorstep properties via kerbside sort system and flats comingled score 8 points.	10.0	10.0	8.0	10.0	8.0	10.0	0.0	0.0	0.0	5.0	5.0	
Employment	5%	Number of staff employed	Points for reduction/increase in jobs scored by the number of jobs affected. Score as deviation from the maximum staff employed (10 points) to the minimum (0 points).	8.6	9.6	9.3	9.1	8.9	10.0	0.9	1.1	0.0	3.2	2.6	
Air quality assessment	5%	Impact of collection vehicles on air quality	Assesment of the monetised air quality damage from collection vehicles, measured by CO ² and Nox emissions (£ per annum)	2.5	2.7	2.7	10.0	10.0	2.6	0.0	0.0	8.7	0.5	7.9	
Health and safety	15%	Health and safety of collection crew	Glass collection noise assessment - daily personal noise exposure (LEP, d) derived on basis of number of loading events.	0.0	4.1	4.1	4.1	4.1	4.1	10.0	10.0	10.0	7.7	7.7	
			Safety of crews from other road users whilst loading collection vehicle - no options are considered 'high risk', kerbside sort scores 5 points (medium risk), comingled/twin stream scored 10 points (low risk) to reflect vehicle loading	5.0	5.0	5.0	5.0	5.0	5.0	10.0	10.0	10.0	10.0	10.0	10.0
<p>The variables below are qualitative. There is not an extensive empirical evidence base to draw on in regard to scoring the impact of any one option over the other. As a result, the scores are by necessity more subjective than that of the variable scores detailed above. They are important issues for BWC and Bristol City Council, as such, it is important to understand what the issues for each collection option are in respect to the variable. Once the option specific issues are understood then mitigation measures could be developed and put in place to maximise the quality and efficiency through the service delivery.</p>															
Street scene	15%	Impact on fly tipping and street scene in terms of numbers and type of containers provided to households and effect on street cleansing requirement	Potential impact on flytipping - assessed by litres of residual waste capacity available per week (e.g. 180 litre wheeled bin fortnightly is 90 litres residual waste capacity per week). Sliding scale from the highest weekly equivalent residual capacity which scores 10 points, to the lowest which scores 0 points.	10.0	10.0	10.0	0.0	0.0	3.3	10.0	3.3	0.0	10.0	0.0	
			Perceived impact of collection type on street scene, accounting for street cleanliness following collection - co-mingled scores 10, twin stream scores 5, multi-stream scores 0	0.0	0.0	0.0	0.0	0.0	0.0	10.0	10.0	10.0	5.0	5.0	
			Total number of containers for kerbside properties, accounting for the types of containers in use and their perceived impact on street scene (excl garden). Wheeled bin = 3 points, Box = 1 point each, Food bin (plus indoor caddy) = 1 point.	10.0	5.0	5.0	5.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0	
Public opinion	15%	Public opinion of the collection system.	Number of households passed per vehicle per day. This aims to provide an assessment of the speed of dry recycling collections at street level. Score as deviation from the highest (10 points) to the lowest (0 points).	1.1	0.4	0.4	0.0	0.0	0.1	10.0	9.1	9.1	3.4	3.0	
			Materials collected (Multi-stream scores 10 as peripheral items remain available for collection, co-mingled and twin stream score 0 as peripheral items will no longer be collected)	10.0	10.0	10.0	10.0	10.0	10.0	0.0	0.0	0.0	0.0	0.0	0.0
100%				Total Score (unweighted)	45.4	49.9	46.7	60.0	56.8	50.3	29.0	28.6	38.1	25.1	34.3
				Weighted Score	5.3	5.9	5.6	7.1	6.7	6.0	4.3	4.2	5.2	3.0	4.0
				Rank	6	4	5	1	2	3	8	9	7	11	10

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Annualised cost comparison and kerbside recycling rate

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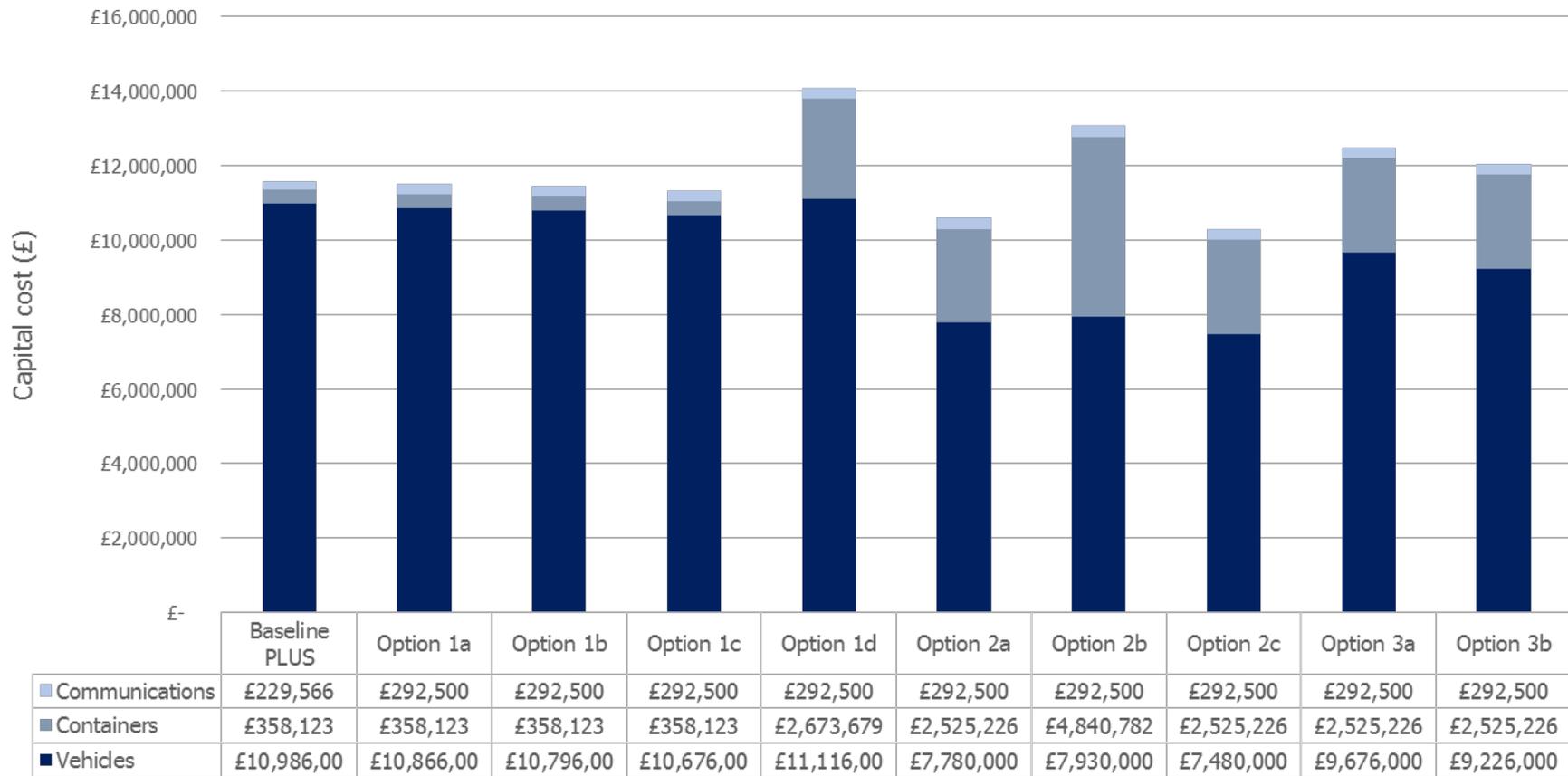


	Baseline Res-2wkly- 180l Multi-wkly	Baseline PLUS Res-2wkly- 180l Multi-wkly	Option 1a Res-2wkly- 180l Multi-wkly (flats- comingled)	Option 1b Res-3wkly- 180l Multi-wkly	Option 1c Res-3wkly- 180l Multi-wkly (flats- comingled)	Option 1d Res-2wkly- 140l Multi-wkly	Option 2a Res-2wkly- 180l Comingled- 2wkly	Option 2b Res-2wkly- 140l Comingled- 2wkly	Option 2c Res-3wkly- 180l Comingled- 2wkly	Option 3a Res-2wkly- 180l Twin-2wkly	Option 3b Res-3wkly- 180l Twin-2wkly
■ Annualised cost saving		-£79,148	£68,669	-(£466,331)	-(£318,514)	-(£88,275)	£693,420	£696,893	£260,424	£598,695	£178,328
● Recycling rate	38.7%	39.6%	39.7%	40.7%	40.8%	40.3%	39.1%	39.8%	39.6%	37.5%	38.3%



Capital Implications of each option.

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Appendix B

Collection methodology decision pathway

	Decision Pathway 1 No change (Baseline+1)	Decision Pathway 2 Potential Change (5 week consultation)	Decision Pathway 3 Potential Change (12 week consultation)	Meeting owner
SLT/CLB/Exec Board	December 2017 - February 2018	20 th February 2018	20 th February 2018	Angela Lopez Mendoza
CLlr Dudd briefings	December 2017 – April 2018	8 th February 2018	8 th February 2018	Andrew Mallin
Political Cabinet (CLlr Dudd to put on agenda)	February 2018	February 2018	February 2018	Simon Cowley
Sent to Mayors office - Mayors briefing	FOR INFO - decision made as part of business planning. 26th Feb - 1st March 2018	26 th Feb - 1 st March 2018	26 th Feb - 1 st March 2018	Simon Cowley
Consultation launch	N/A	5 th March 2018	5 th March 2018	N/A – but work with Angie Burton/Jon Toy
Consultation close	N/A	6 th April 2018	28 th May 2018	N/A – but work with Angie Burton/Jon Toy
Review and collate consultation responses (2 weeks to finish after final responses in)	N/A	20 th April 2018	11 th June 2018	N/A – but work with Angie Burton/Jon Toy
OSMB – specifically about collection methodology	12th April 2018	10 th May 2018 (TBC – extraordinary meeting) (Dispatch 2 nd May)	21 st June 2018 (TBC – extraordinary meeting) (Dispatch 13 th June 2018)	Lucy Fleming
Cabinet	July 2018	5 th June 2018 (TBC – dates not published yet) (Dispatch 28 th May)	3 rd July 2018 (TBC – dates not published yet) (Dispatch 25 th June)	Lucy Fleming
BWC can commence procurement of fleet (following call-in)	July 2018	13 th June 2018	11 th July 2018	N/A

*If there is it no change in collection methodology, it still might be advisable to hold a waste related OSMB on other broader matters.