

Cabinet Agenda



Date: Tuesday, 18 June 2019

Time: 4.00 pm

Venue: 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 Steve Pearce

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Date: Monday, 10 June 2019

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 18 June 2019



Cabinet is 12 noon on Monday 17 June 2019. 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 18 June 2019 Cabinet is 5.00 pm on Wednesday 12 June 2019. 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

To note any announcements from the Chair

PART B - Key Decisions

8. Clear Air Plan Update

(Pages 6 - 54)

9. Transport Capital Programme 19/20

(Pages 55 - 70)

10. Bristol City Council Strategic Asset Management Plan (SAMP)

(Pages 71 - 115)

11. MetroWest Phase 2 (Henbury rail line and increased rail services to Yate)

(Pages 116 - 218)

12. A4018 outcome of consultation & request to submit full business case to WECA

(Pages 219 - 259)

13. Tree management contract and strategy

(Pages 260 - 275)

14. Keeping Bristol Safe Partnership Proposal

(Pages 276 - 292)

15. Extension of Adult Carers Support Service contracts

(Pages 293 - 308)

16. Better Lives Programme: "Help when people need it"

(Pages 309 - 346)



- 17. A New Profile of Children's Homes** (Pages 347 - 409)
- 18. Council Tax Reduction Scheme 20/21** (Pages 410 - 431)
- 19. Budget Monitoring Outturn Report 2018/19** (Pages 432 - 469)
- 20. CCTV and Fibre Hardware Installation and Maintenance** (Pages 470 - 522)

PART C NON KEY DECISIONS

- 21. Corporate Risk Management Report and Annual Update** (Pages 523 - 559)



Decision Pathway – Cabinet Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 18 June 2018

TITLE	Improving Public Health - Clean Air Plan Update	
Ward(s)	City wide	
Author: Abigail Smith	Job title: Clean Air Zone Project Manager	
Cabinet lead: Mayor	Executive Director lead: Mike Jackson; Executive Director of Resources and Head of Paid Services.	
Proposal origin: <i>Other</i>		
Decision maker: Mayor Decision forum: <i>Cabinet</i>		
<p>Timescales: Proposed decision date; 18th June 2019. The Mayor has written to Theresa Coffey, Secretary of State for Department of Food and Rural Affairs, on the 1st March stating that a programme would be submitted to JAQU by the end of March 2019, which was achieved. The submitted programme shows that an Outline Business Case (OBC) will be submitted to JAQU by Sept 2019 and a Full Business Case (FBC) by the end of 2019.</p>		
<p>Purpose of Report:</p> <ol style="list-style-type: none"> To seek a steer on the draft CAP programme; including agreement to hold a public consultation on the Roadside Compliance Plan in accordance with the project plan submitted to Government. It is proposed the consultation will run from the 1st of July for a period of 6 weeks. 		
<p>Evidence Base:</p> <ol style="list-style-type: none"> Air pollution is a long standing problem in Bristol, and many UK cities. In Bristol an Air Quality Management Area (AQMA) was declared in 2001 because of breaches in the legal standards for levels of nitrogen dioxide (NO₂). It covers the central areas of the city and the main arterial routes (please see Cabinet report from March 2018 for further detail). The level of nitrogen dioxide is limited under UK and EU law because of the impacts it has on human health. The Government published a new National Air Quality Action Plan on 26th July 2017. This provides the policy context and guidance for work in Bristol and has been considered in detail. Bristol City Council is also working alongside at least 20 other local leaders from across the UK in support of, and fully signed up to, the priorities as contained in the draft Environment (Principles and Governance) Bill vi, published on 19 December 2018, to be included as part of the wide-ranging Environment Bill when introduced into Parliament. The Government formally directed 24 local authorities in July 2017, including Bristol City Council, to: <ul style="list-style-type: none"> By 31 March 2018 undertake a feasibility study and identify options which will deliver compliance with legal limits for nitrogen dioxide in the shortest possible time. By 31 December 2018 to identify a preferred option, including value for money considerations and implementation arrangements (the latter date was subsequently not met as it was found, whilst under review, that the original programme was not deliverable due to the amount of technical work still to be undertaken at that time). A plan was developed around the following topics: strengthening land use planning policies; reducing the impacts of freight; improving the bus and taxi fleets working with the operators; encouraging the adoption of electric vehicles; working with Government to secure investment the city needs; considering the contribution to air pollution from non-transport sources; improving traffic management; and various options for a Clean Air Zone. In March 2018, Cabinet agreed to the submission of a Strategic Outline Case (SOC) to Government, 		

including engagement and consultation activities and the submission of funding bids including spend of up to £2m. This was submitted in April 2018 and approved by Government.

6. The SOC included 5 shortlisted options to be further developed in the next phase; an Outline Business Case (OBC) - a small and Medium CAZ C (charging all modes except cars) and D (charging all modes) with a fifth non-charging option. Work began on engaging with the public to begin highlighting the issues around poor air quality and the potential 5 options proposed to address them.
7. The technical work was carried out for the OBC based on the 5 options taken forward as part of the SOC; the results produced 2 'preferred options' based on the year they would likely reach compliance.
8. Modelling showed the options having different compliance dates; 2030 for the CAZ D (charging all non-compliant modes) and 2024 for a Small Area Diesel Car Ban. However, analysis showed that both options would have a disproportionate impact on low income households. This technical work continues to be utilised in new iterations of the project being developed and is attached as Appendix A. Over the time the project has been developing there has been a lot of work taking place in the council to address poor air quality in support of a potential CAZ. This has included policy changes to the taxi fleet to ensure there is a move to becoming totally compliant in line with the Government direction.
9. The impact of the identified options on lower income households led to the need to try and find options which would meet the obligations of the Council on air quality but avoiding or reducing if possible these impacts. Other options were therefore considered for further analysis, in liaison with JAQU.
10. This led to the development of a new phase of the project. This phase, following some initial analysis, which suggested compliance could be achieved by 2025, considered a range of measures which whilst still based on the previously rejected preferred options, formed part of a 'new' variation option; to be referred to in the consultation as 'Option 1'. This includes a local scrappage scheme (offered to people scrapping the most polluted vehicles in exchange for a grant towards a new car or a switch to another mode i.e. Bus tickets), improvements to buses and taxis to the compliant Euro standard, plus bus and local traffic interventions in the most polluting areas; including a bus lane on the M32, a targeted diesel ban on the highway past the BRI and Children's Hospital and finally a CAZ C; a charging scheme for non-compliant buses, taxis, HGVs and LGVs.
11. Subsequent analysis suggested that once the technical work is complete, the date for Option 1 to achieve compliance will be similar to the compliance date for the small area diesel ban (Option 2) set out below, however this will not be clear until all the technical work has been completed which should be in mid-July and will be made available as part of the consultation process. It is important to go out to consultation at the start of July so we can finalise the preferred option in the OBC and meet the programme deadlines but recognise that this will be in advance of having all of the detailed technical information. Based on the experience of other cities, that there is likely to be a high level of interest in this project and it is likely to generate a lot of feedback / input so we need to start to gather views as soon as possible to help finalise the preferred option and move this project forward within the agreed timescales.
12. A consultation is now being planned; the options proposed will be Option 1 as explained above. Option 2 will be a small area diesel car ban which will be enforced for an 8hr period (from 7am to 3pm) of diesel cars only from entering a specific central area during a set time, with mitigation measures. Both options going to consultation include a package of non-charging measures (bans on specific highly polluted routes for HGVs, bus priority measures, improvements to buses and taxis ensuring they are all within the compliant Euro standard of emissions) as a baseline.
13. The key mitigation measures and exemptions for both options will be set out and consulted on to ensure the disproportionate impact on low income households is effectively managed. Details of what will be included in the final option in terms of mitigations and exemptions will be confirmed following this consultation. Once the preferred option is identified following consultation, a further consultation will take place in relation to the details of the scheme to be implemented.

Cabinet Member / Officer Recommendations:

That Cabinet

- A) Approve public consultation for a minimum of 6 weeks from the 1st July 2019 on 2 options for achieving

NO2 compliance; Option 1 (a medium CAZ C charging scheme with additional non - charging measures and mitigations) and a Small Area Diesel Car Ban (Option 2) with mitigations as set out in more detail above.

- B) Notes that a report will be brought back to cabinet in September, to include the outcome of consultation, to seek approval to submit an Outline Business Case, based on the preferred option, to Government. Note that progress on the overall draft Clean Air Plan will also be reported to Cabinet in September.

Corporate Strategy alignment:

The Corporate Strategy 2018-2023 commits the City Council to: “Keep Bristol on course to be run entirely on clean energy by 2050 whilst improving our environment to ensure people enjoy cleaner air, cleaner streets and access to parks and green spaces.”

This project also supports the Council’s vision; “we play a leading role in driving a city of hope and aspiration where everyone can share in its success.....We are committed to building a better Bristol that includes everyone in the city’s success. We are here to take care of the economic, social and environmental wellbeing of Bristol alongside many other local, regional and national organisations”.

City Benefits:

This proposal will improve public health by achieving legal nitrogen dioxide objectives and reducing particulate pollution in accordance with the Clean Air Plan.

Consultation Details:

As per the current programme, it is proposed to carry out a public consultation from the 1st July for 6 weeks with confirmation of compliance dates being made available the week commencing 15th July. We will also be engaging with local ward members and with the Overview of Scrutiny Management Board as part of the scrutiny process and will be following the Decision Pathway, presenting this report to all relevant internal forums.

Revenue Cost	£2m Approved £1.65m Awarded	Source of Revenue Funding	Grant from Government
Capital Cost	£	Source of Capital Funding	<i>e.g. grant/ prudential borrowing etc.</i>
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:

This report seeks update Cabinet on current progress on development of the Clean Air Plan (CAP) and seek approval to continue work aimed at producing an OBC by September 2019 for which funding has already been approved and received. It also seeks approval to engage in a consultation as part of the process which will help inform the recommended option to be developed.

The Council has been awarded a total of £1,648,600.00 to date and has expended £934,000 to date in developing the various options which is helping inform the proposed consultation. The project currently has £751,000 funding remaining.

The total cost at this stage is still expected to be within the £2m funding envelope originally agreed. There could be additional costs that emerge after the consultations are completed, however it is anticipated that a clearer picture will emerge in time for a full update on costs to be provided as part of the OBC in September 2019.

The project is behind schedule and is at risk of having to pay back central government funding of £1.65m if BCC is not in a position to implement a solution that will deliver the government targets in the earliest possible time.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth & Regeneration, 31 May 2019.

2. Legal Advice: In July 2017 , and pursuant to the Environment Act 1995 (Feasibility Study for Nitrogen Dioxide Compliance) Air Quality Direction 2017 (the Direction), the Government formally directed the Council, (along with other Authorities) to:

- By 31 March 2018 undertake a feasibility study and identify options which will deliver compliance with legal limits for nitrogen dioxide in the shortest possible time.
- By 31 December 2018 to identify a preferred option, including value for money considerations and implementation arrangements the shortest possible time.

A revised timetable has been submitted to the Government which sets out the Council’s intention to submit an outline business case by end of September 2019 and the Full Business case by the end of December 2019.

To inform the decision on the preferred option to for the outline business case to be submitted in September, the Council is consulting on the options it is considering putting in place to achieve compliance with air quality legislation.

Consultation should ensure that proposals are consulted on at a formative stage, sufficient reasons are given for the proposals to enable an informed response to be given and adequate time has been allowed for consideration and response.

Legal Team Leader: Nancy Rollason; Head of Legal Services 10/06/2019

3. Implications on IT: There are no immediately identifiable IT implications in this report. It is possible that IT requirements may arise from implementation of specific proposals within the plan; these will need to be addressed at the appropriate time.

IT Team Leader: Ian Gale, 10th June 2019

4. HR Advice: There are no HR implications.

HR Partner: Lorna Laing 10/06/19

Background Documents:

- Cabinet Report - Improving Public Health - A Clean Air Plan for Bristol March 2018
<https://democracy.bristol.gov.uk/documents/s19804/Clean%20Air%20Plan%20-%20Cabinet%20Report%20and%20Appendices%20-%20Final%20with%20Early%20Measures%20Fund%20included%20-with%20legal.pdf>

EDM Sign-off	Mike Jackson	10/06/19
Cabinet Member sign-off	Mayor Marvin Rees	10/06/19
For Key Decisions - Mayor’s Office sign-off		10/06/19

Appendix A – Further essential background / detail on the proposal <i>Bristol City Council Clean Air Plan: Outline Business Case –Economic Case</i>	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	To Follow
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

Bristol City Council Clean Air Plan: Outline Business Case – Economic Case

Prepared for

Bristol City Council

January 2019



Economic Case

3.1 Introduction

This chapter sets out the economic case and forms part of the BCC CAP Outline Business Case. The completed Outline Business Case will contain the following information:

- Strategic Case –sets out the case for change and the spending objectives of the Plan.
- Economic Case – assesses the shortlisted options that achieve compliance in the shortest possible time from a value for money perspective, as well as identifying distributional impacts of the shortlisted options.
- Commercial Case – establishes the preferred route to procurement, based on supplier capability and likely delivery solution.
- Financial Case - sets out the detailed costings for the Plan and available funding sources.
- Management Case – provides the governance and management arrangements to deliver the preferred option.

This economic case has the following supporting documents:

- Appendix D Air Quality Assessment Reports
- Appendix E Transport Modelling Reports
- Appendix F Stated Preference Survey Report
- Appendix G Economics Methodology Report
- Appendix H Social Distributional Impacts Report

3.2 Options assessed

The Option Assessment Report (Appendix C to the OBC) concluded the better performing options are:

- Option 4 – Medium area Class D charging option with complementary non-charging interventions.
- Option 2c – Diesel car exclusion over a small area with bus and taxi fleet improvement to Euro 6 or better (assumed to be implemented 24 hours a day/7 days a week).

These options are assessed in this economic case.

During the development of the economic case, legislative issues have been identified associated with a diesel car exemption. Research about the legislative powers required to implement the scheme 24 hours a day, 7 days a week indicates that the Traffic Regulation Order (TRO) rules would sufficiently support a vehicle restriction (or ban) however this would need to be within a time limit.

If this option were to be progressed, the project team would work with JAQU to understand the feasibility (and associated programme) of a legislative amendment in relation to S.3.1.b of the Road Traffic Regulation Act 1984 to enable local authorities to introduce measures that are not “charging” but nonetheless may reduce pollution.

3.3 Transport Modelling Approach

3.3.1 Modelling methodology

This modelling methodology summarises the detailed methodology found in the Local Plan Transport Modelling Methodology Report (T3), and its appended technical notes, bringing together an overview of all the components of how the baseline and option testing has been carried out using the GBATS4M Transport Model.

3.3.2 Base and Baseline

3.3.2.1 Model Development

The Local Plan Transport Modelling Methodology Report (T3), chapters 3, 4 and 7, outlines the modelling methodology for the Base and Baseline models. It states that the GBATS4M variable demand model has been used to develop the 2021 baseline models, based on the inputs from the updated Uncertainty Log.

The Uncertainty Log was developed in 2015 therefore details for an up-to-date Uncertainty Log have been collated. This will cover both development and scheme assumptions. The baseline model (2021) has the most recent scheme assumptions for the assessment year modelled within it based on the Near Certain and More than Likely entries in the Uncertainty Log.

A growth model has been developed within the Demand Model which creates highway and public transport future year demand matrices using the production and attraction trip end totals for the new development, a gravity model to distribute these new developments using base year travel costs and then converting to origin and destination format. These new trips are then added to the base year matrices. Three-dimensional matrix balancing to build full reference case matrices is undertaken, retaining the base year trip length distribution and control to the National Trip End model (NTEM, Tempro V7.2) growth for West of England and external zones.

These matrices are then run through the variable demand model until convergence is achieved within the limits specified by the DfT.

Light and heavy goods vehicle growth is based on forecasts produced by the National Transport Model (NTM) as advised by WebTAG. Goods vehicles are not subject to change via the demand model.

Joint Spatial Plan growth has not been included in the development of the 2021 and 2031 baseline models as it is not sufficiently certain, in terms of the WebTAG criteria, to be included.

The 2021 Baseline highway model developed has been adapted to be able to model the implementation of a charging CAZ. The matrices have been split by compliance for each user class using the surveyed Automatic Number Plate Recognition (ANPR) data.

3.3.2.2 ANPR Data

The 2017 Automatic Number Plate Recognition (ANPR) surveys were undertaken in July and the analysis (including tabulated data) and use is discussed fully in the ANPR Data Analysis and Application technical note which is appended to T3. A summary is provided here.

The ANPR data has been used to determine the compliance splits of the current fleet when compared to the CAZ framework criteria relating to Euro Standards. The registration data from the ANPR surveys have been cross referenced with data purchased from Carweb to gain information on vehicle type, fuel type and Euro standard. The ANPR data has also been used to split the taxi fleet from the car matrices and the coaches from the HGV matrices, by applying global factors, by time period.

The base year compliance splits by vehicle type (Car, Taxi, LGVs, Coaches and HGVs) have been determined from the 2017 ANPR data worked back to 2015 using the Emission Factor Toolkit national euro standard splits. The baseline has been adjusted to 2021 using the fleet projection tool within the Emission Factor Toolkit.

3.3.2.3 Matrix Compliance Splits

The highway model has 6 user classes: Car Non-business (Low Income), Car Non-business (Medium Income), Car Non-business (High Income), Car Business, LGV and HGV. These has been split into 12 user classes using the following methodology:

- Split the Car user classes into Car and Taxi user classes
- Split the HGV user class into HGV and Coach user classes
- Split Car, Taxi, LGV, HGV and Coach matrices into compliant and non-compliant using the time period splits

3.3.2.4 Post-Processing

The ANPR data collected has also been used to determine the HGV rigid/artic split by compliance and fuel type splits for cars and LGVs. This has been used to add more detail to the modelled outputs via post processing, to produce inputs into the EFT.

First Bus provided information regarding the 2021 fleet composition by service. Non-First bus compliance splits have been derived from ANPR data adjusted to 2021 using the EFT tool. The bus fleet composition has been handled outside the transport model, before input to the EFT. This has enabled vehicle details for particular routes to be accounted for in both the current and future fleet.

3.3.2.5 Euro Standard Splits

The EFT has national Euro Standard splits within it. These have been overwritten with splits calculated from the 2017 ANPR data, projected forward to 2021.

3.3.2.6 2015 Base Compliance Splits

The base year compliance splits have been determined from the 2017 ANPR data worked back to 2015 using the EFT national euro standard splits. The ANPR Data Analysis and Application technical note (appended to T3), Chapter 3, details this process and the outputs. Table 3.1 shows the projected 2015 compliance data by time period – AM peak, IP (Interpeak) and PM peak.

Table 3.1: 2015 Compliance Splits by Time Period, Medium Cordon

Vehicle Category	AM		IP		PM	
	Compliant	Non-compliant	Compliant	Non-compliant	Compliant	Non-compliant
Cars	36.1%	63.9%	34.7%	65.3%	35.3%	64.7%
LGV	0.2%	99.8%	0.2%	99.8%	0.2%	99.8%
HGV rigid	20.2%	79.8%	19.0%	81.0%	15.2%	84.8%
HGV artic	35.0%	65.0%	36.3%	63.7%	34.0%	66.0%
HGV	22.7%	77.3%	21.7%	78.3%	19.2%	80.8%
Taxi	11.5%	88.5%	9.1%	90.9%	10.7%	89.3%
Bus	7.6%	92.4%	7.9%	92.1%	7.7%	92.3%
Coach	14.7%	85.3%	15.1%	84.9%	15.8%	84.2%
Total	28.4%	74.8%	27.1%	76.6%	30.0%	71.3%

3.3.2.7 2021 Baseline Compliance Splits

The fleet projection tool within the EFT version 8 has been used to project the euro standard splits from the 2017 ANPR data to the Baseline year of 2021. The ANPR Data Analysis and Application technical note (appended to T3), Chapter 4, details this process and the outputs. A summary of the projected 2021 compliance data by time period is provided in Table 3.2.

Table 3.2: 2021 Compliance Splits by Time Period

Vehicle Category	AM		IP		PM	
	Compliant	Non-compliant	Compliant	Non-compliant	Compliant	Non-compliant
Cars	74.0%	26.0%	72.8%	27.2%	73.4%	26.6%
LGV	58.0%	42.0%	63.1%	36.9%	58.2%	41.8%
HGV rigid	73.9%	26.1%	72.5%	27.5%	66.7%	33.3%
HGV artic	85.7%	14.3%	86.4%	13.6%	85.2%	14.8%
HGV	76.6%	23.4%	75.6%	24.4%	72.6%	27.4%
Taxi	39.7%	60.3%	33.7%	66.3%	37.7%	62.3%
Bus	65.2%	34.8%	66.3%	33.7%	65.7%	34.3%
Coach	68.8%	31.2%	69.6%	30.4%	70.6%	29.4%
Total	72.5%	30.8%	72.0%	31.7%	70.9%	30.3%

3.3.3 Clean Air Zone Option Testing

3.3.3.1 Primary Behavioural Responses

The primary responses have been modelled using the G-BATS4M highway model using the following methodology, as described in the Local Plan Transport Modelling Methodology Report (T3), Chapter 5:

- Pay Charge – no change to the model
- Avoid Zone – a charge has been applied to each inbound link to replicate the expected percentage change from the baseline case of non-compliant cars, LGVs and HGV's within the CAZ
- Cancel journey / change mode – this has been modelled by reducing the number of trips made by non-compliant vehicles to/from and within the CAZ area, to replicate the expected percentage change from the baseline case
- Replace Vehicle – an adjustment to the matrices by extracting select cordon matrices for the non-compliant trips and switching the proportion of replace vehicles, calculated from the stated preference surveys, from the non-compliant matrices to the compliant matrices

3.3.3.2 Secondary Behavioural Responses

In addition to the primary behavioural responses, JAQU have set out some further assumptions on secondary responses for a charging CAZ for cars in paragraph 3.3 of the Evidence Package guidance. These have been used due to lack of any available local data.

These secondary responses have been applied during the calculation of the upgrade costs and post-processing of the extracted link-based flow data from the Transport Model for the 'replace vehicle' response.

3.3.3.3 Stated Preference Surveys

Stated preference survey of BCC / South Gloucestershire Council (SGC) / North Somerset Council (NSC)/ Bath and North East Somerset (B&NES) residents were undertaken in 2018. The work targeted owners of non-compliant cars / LGVs who drive in central Bristol, and 1100 online surveys completed Feb / March 2018.

The questionnaires asked how owners would respond to a small and medium size charging CAZ using structured 'multiple choice' exercises and then the results were analysed using logistical regression statistical techniques.

3.3.3.4 Upgrade Costs

In order to determine the primary response rates over a range of CAZ charges from the stated preference surveys, an upgrade cost is required for cars. The LGVs methodology for determining response rates also requires an estimation of an upgrade cost. The upgrade costs of other vehicle types (HGVs, Taxi, Bus and Coaches) were not used to calculate the primary response rates; rather, the primary response rates for these vehicle types were determined by other information collated.

3.3.3.5 Proposed Charge Rates

Table 3.3 shows the proposed charges. These are selected as the minimum charges required to address the air quality exceedances within Bristol and are in line with charges being considered by other local authorities.

Table 3.3: Bristol CAZ Proposed Charges

Charge Class	Daily Charge
Cars	£9.00
Taxis	£9.00
LGVs	£9.00
HGVs	£100.00
Buses	£100.00
Coaches	£100.00

3.3.3.6 Calculated Response Rates for Medium area CAZ D with Complementary Measures

The methodology for calculating the primary response rates for all vehicle type is summarised as follows:

- Cars - The upgrade cost has been used to determine a range of primary responses for different charge rates using the stated preference survey responses from the Medium zone area
- LGVs - The primary response rates are calculated from the stated preference survey responses which were identified as a 'van'. Again, the upgrade cost is used to determine a range of primary responses for different charge rates from the Medium zone area
- HGVs - The primary behavioural responses rates for HGVs were taken from 'Table 2 – Behavioural responses to charging Clean Air Zones' in the Evidence Package, provided by JAQU
- Taxis - The taxi response rate is based on Bristol enforcing compliance for Taxis through their licensing agreements with taxi operators
- Coaches - The initial response rates for coaches were taken from 'Table 2 – Behavioural responses to charging Clean Air Zones' in the Evidence Package, provided by JAQU
- Buses - The response rates for buses were determined through discussions between Bristol and bus operators

An adjustment for foreign vehicles has been applied to the responses rates calculated from the methodology set out above, as foreign vehicles cannot be reliably charged (their details are not captured in the Driver and Vehicle Licensing Agency (DVLA) database in order to determine if the vehicle is compliant and so enforcement can only occur through a manual process with limited powers). The final response rates will assume a 'worst case', i.e. that these vehicles continue to drive within the zone but do not pay the charge. In reality it is unlikely that this will be the case for all foreign vehicles.

Table 3.4 shows the final primary behavioural response rates by vehicle type produced the methodology set out above and the charge rates in Table 3.3. These are the response rates that have been applied to the core modelling scenarios within the traffic model.

Table 3.4: Final Primary Behavioural Response Rates for Medium Area Class D

Response	Cars Low Income	Cars Medium Income	Cars High Income	Cars Employers Business	Taxis	LGVs	HGVs	Buses	Coaches
Pay Charge	4.4%	7.3%	5.2%	9.4%	4.1%	15.9%	8.8%	0.0%	17.8%
Avoid Zone	10.8%	14.1%	16.1%	18.0%	0.0%	19.2%	4.3%	0.0%	0.0%
Cancel Journey / Change Mode	39.9%	22.1%	14.2%	14.5%	0.0%	2.6%	4.3%	6.4%	11.4%
Replace Vehicle	44.9%	56.5%	64.5%	58.1%	95.9%	62.2%	82.6%	93.6%	70.8%

3.3.3.7 Calculated Response Rates for Diesel car exclusion over a small area with bus and taxi fleet improvement to Euro 6 or better

The methodology for calculating the primary response rates for all vehicle type is summarised as follows:

- Cars – Diesel Cars are excluded from the Small area, the pay charge response rate was set to zero, the avoid zone rate has been determined by the model assignment, where through trips can reroute and for trips with either an origin or destination point within the Small area, the cancel trip/change mode and replace vehicle responses from the stated preference surveys have been proportioned so that the total response rate totals 100 per cent
- Taxis – Assumed 100 per cent replace vehicle
- Buses - Assumed 100 per cent replace vehicle

Table 3.5 shows the final primary behavioural response rates by vehicle type produced the methodology set out above. These are the response rates that have been applied to the core modelling scenarios within the traffic model.

Table 3.5: Final Primary Behavioural Response Rates for Diesel car exclusion over a small area with bus and taxi fleet improvement to Euro 6 or better

Response	Cars Low Income	Cars Medium Income	Cars High Income	Cars Employers Business	Taxis	LGVs	HGVs	Buses	Coaches
Pay Charge	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Avoid Zone	43.1%	41.0%	37.1%	38.8%	0.0%	0.0%	0.0%	0.0%	0.0%
Cancel Journey / Change Mode	16.4%	17.0%	18.1%	17.6%	0.0%	0.0%	0.0%	0.0%	0.0%
Replace Vehicle	40.5%	42.0%	44.7%	43.6%	100.0%	0.0%	100.0%	0.0%	0.0%

3.4 Air Quality Modelling Approach

3.4.1 Overview of approach

Dispersion modelling has been undertaken using ADMS-Roads version 4.1, which is one of the “standard” models recommended in JAQU’s ‘Transport and Air Quality’ guidance. The model is approved by Defra and used extensively in the United Kingdom.

The model base year is 2015, with monitoring data for this year used to verify and adjust the modelled concentrations. Options 4 and Option 2c, have been modelled for the future years 2021 and 2031, together with the future baseline (whiteout the aforementioned measures) for the same years.

Both options showed exceedances of the NO₂ limit in Bristol city centre in 2021 and no exceedances in 2031. So, in order to compare the two options in terms of reaching compliance in the shortest time possible and estimate in which year compliance would be reached, modelling results have been interpolated between 2021 and 2031.

The model domain includes all roads that are listed within the national Pollution Climate Mapping (PCM) model for the study area, as exceeding the annual mean Limit Value in 2021 for NO₂ (as published by Defra), as well as roads where annual mean NO₂ concentrations are known to exceed the national air quality objective, based on the most recent review and assessment report published by BCC.

The domain also includes all potential displacement routes which may be affected by the measures, identified from the traffic model.

3.4.2 Summary of results

A detailed assessment of the impacts of the two preferred options on air quality has been undertaken for the OBC using traffic and air quality models. The results of this work are summarised in Table 3.6.

Table 3.6: Summary of AQ impacts

Option	Has the options been modelled?	Does the option achieve compliance in BCC by 2021?	Number of sites not meeting compliance by 2021
Baseline 2021	Yes	No	>10
Option 4 – Medium Area Class D Charging Option with complementary non-charging interventions	Yes	No	6 locations
Option 2c Diesel car exclusion across small area with bus and taxi fleet improvement so that everything is Euro 6 or better	Yes, the Diesel car exclusion over a small area together with taxi and bus fleet improvements	No	4 locations

Plans showing the AQ impacts are presented in Table 3.7 and Figures 3.1 and 3.2.

Table 3.7: Comparison of modelled options at locations with exceedances at one of more location

Road Name	Rupert Street	Upper Maudlin Street	Upper Maudlin Street	Park Row	Park Street	Queen's Road	College Green	Ward Bdy	Newfoundland Way	Easton Way	Church Road
Modelled Link/s	2677_1518	1236_2683 & 2683_1236	1224_1236 & 1236_1224	1225_1815 & 1815_1225	1227_1793 & 1793_1227	1787_1227	1237_2535 & 2535_1237	1110_4033 & 4033_1110	1470_3977	1248_1620	1253_2351 & 2351_1253
Modelled Scenario	Modelled Results (µg/m³)										
Baseline	54.88	67.2	51.6	48.1	52.2	58.8	52.1	41.1	47.3	38.7	50.5
Medium Area Class D Charging Option with complementary non-charging interventions	46.09	52.4	41.4	38.9	40.5	47.9	39.1	35.7	41.4	32.7	45.6
Diesel car exclusion over a small area with bus and taxi fleet improvement to Euro 6 or better	42.84	45.4	36.8	33.5	36.3	43.0	39.1	37.7	36.3	32.7	45.2

Figure 3.1 AQ impacts of Option 4: Medium Area Class D Charging Option with complementary measures

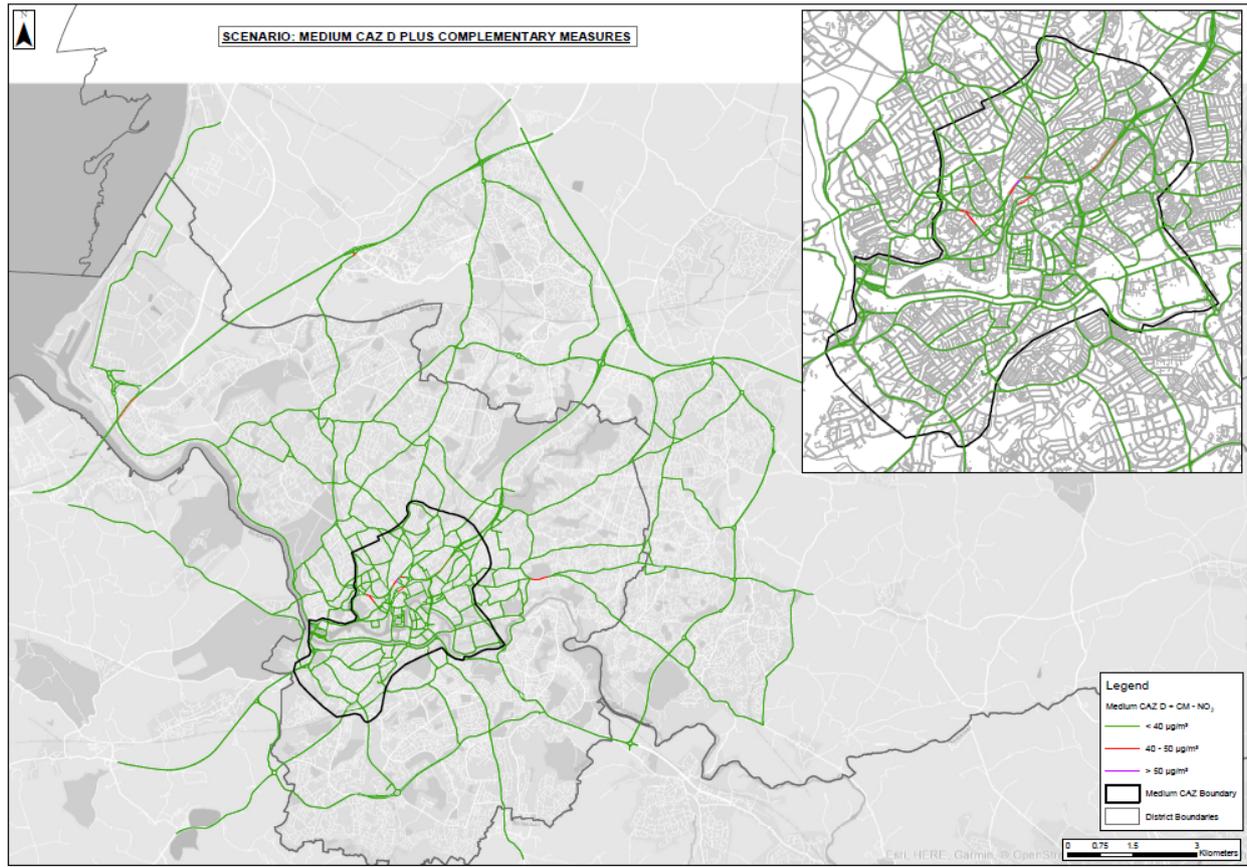


Figure 3.2 AQ impacts of Option 2c – Package of non-charging interventions including small area car diesel ban with taxi and bus fleet improvements

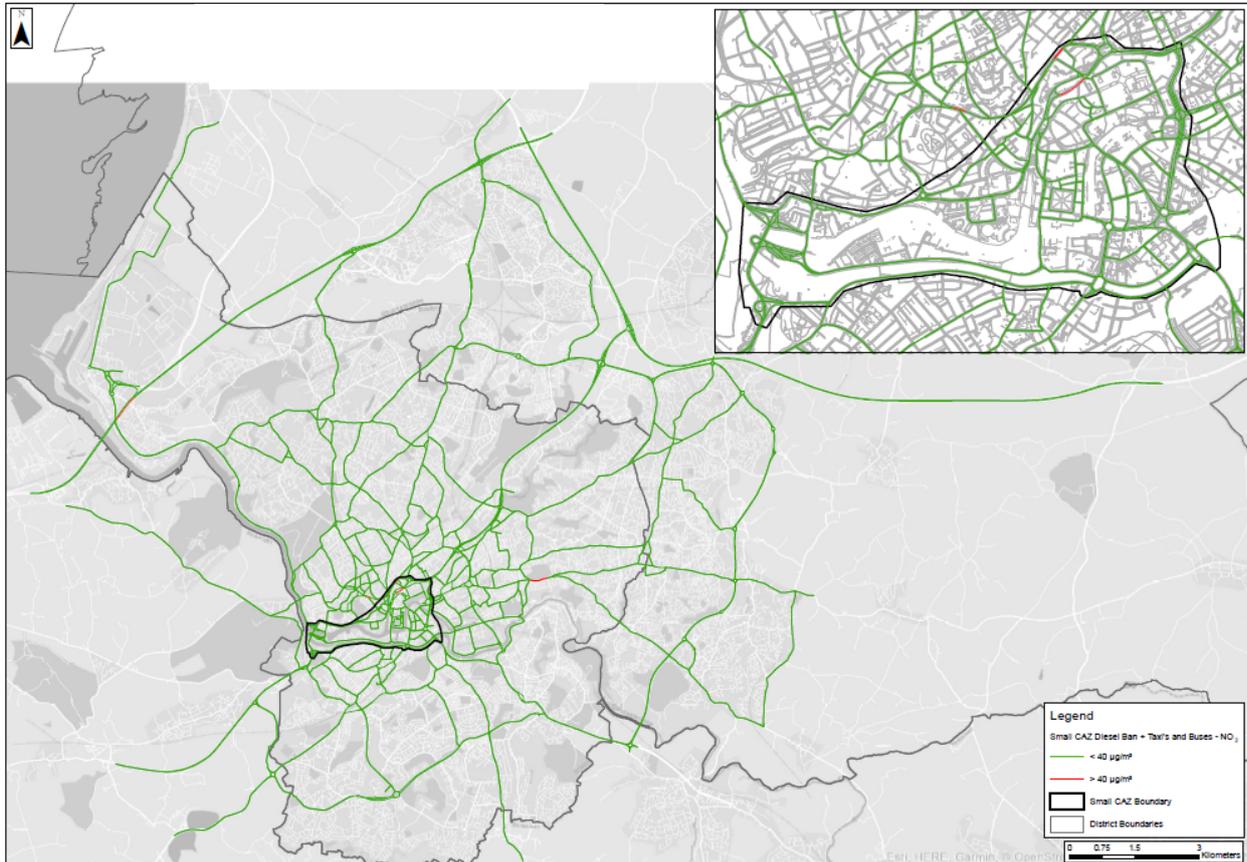


Figure 3.3 Road Names of Key Links Experiencing Non-Compliance



Below is a description of the air quality issues at locations in the City with exceedances in one of more options:

3.4.2.1 Rupert Street

Rupert Street (based on PCM receptors) exceeds the Air Quality objective of 40 µg/m³ in all scenarios.

The topography along Rupert Street is relatively flat. As a result of the tall buildings along the route, a canyoning effect is created, reducing the dispersion of pollutants.

The best performing option is the Option 2c, which results in a significant reduction in emissions from Diesel Cars, as well as Buses, with the highest emission apportionment (as calculated in the EFT) being linked to Diesel LGVs (42.1%).

3.4.2.2 Upper Maudlin Street

Upper Maudlin Street (north of Lower Maudlin Street) exceeds the Air Quality objective of 40 µg/m³ in all scenarios.

There is a relatively steep gradient along the route, and as a result of the tall buildings along the route (Bristol Royal Infirmary), a canyoning effect is created, reducing the dispersion of pollutants.

The best performing option is again the Option 2c, which results in a significant reduction in emissions from Diesel Cars, with the highest emission apportionment (as calculated in the EFT) being linked to Diesel LGVs (67%).

Upper Maudlin Street (south of Lower Maudlin Street) also exceeds the Air Quality objective of 40 µg/m³ with Option 4 while would meet compliance with Option 2c .

3.4.2.3 Park Row

Park Row exceeds the Air Quality objective of 40 µg/m³ in Baseline 2021 scenario, and both Option 4 and Option 2c would bring NO₂ levels into compliance by 2021.

3.4.2.4 Park Street

Park Street exceeds the Air Quality objective of 40 µg/m³ with Option 4 due to the increase in Diesel cars and HGVs movements diverted on this route.

There is a steep gradient along this street, and with the buildings along the route creating a canyoning effect is created, reducing the dispersion of pollutants.

The best performing option is Option 2c, which results in a significant reduction in emissions from Diesel Cars, with the highest emission apportionment (as calculated in the EFT) being linked to Diesel LGVs (45.7%).

3.4.2.5 Queen's Road

Queen's Road still exceeds the Air Quality objective of 40 µg/m³ with both Option 4 and Option 2c.

There is a relatively steep gradient along the route, and as a result of the buildings along the route a canyoning effect is created, reducing the dispersion of pollutants.

The best performing option is Option 2c, which results in a significant reduction in emissions from Diesel Cars, with the highest emission apportionment (as calculated in the EFT) being linked to Diesel LGVs and Buses and Coaches (44.1% / 26.7%).

3.4.2.6 College Green

College Green exceeds the Air Quality objective of 40 µg/m³ in the Baseline 2021 while both Option 4 and Option 2c would be sufficient to bring this link into compliance by 2021.

3.4.2.7 A38 Cheltenham Road (Between B4051 junction and Arley Hill junction)

A38 Cheltenham Road (Between B4051 junction and Arley Hill junction) the Baseline 2021 while both Option 4 and Option 2c would be sufficient to bring this link into compliance by 2021.

3.4.2.8 Newfoundland Way

Newfoundland Way exceeds the Air Quality objective of $40 \mu\text{g}/\text{m}^3$ with Option 4 in 2021, while Option 2c would bring compliance by 2021. Option 2c is the best option thanks to the significant reduction in emissions from Diesel Cars, with the highest emission apportionment (as calculated in the EFT) being linked to Diesel LGVs (76.3%).

3.4.2.9 Easton Way

Easton Way exceeds the Air Quality objective of $40 \mu\text{g}/\text{m}^3$ in the Baseline 2021, while both Option 4 and Option 2c would be sufficient to bring this link into compliance by 2021.

3.4.2.10 Church Road

Church Road exceeds the Air Quality objective of $40 \mu\text{g}/\text{m}^3$ in 2021 with both Options. There is a gradient along this street, and canyoning effect reducing the dispersion of pollutants. The best performing option is Option 2c, with the highest emission apportionment (as calculated in the EFT) being linked to Diesel Cars (41.6%).

3.4.3 Year of compliance

The impact of the two preferred options has been assessed in terms of reduced time needed to reach compliance compared to the Baseline (i.e. a scenario without measures). The modelling results obtained for the years 2021 and 2031 have been interpolated to identify the options that will achieve compliance at all locations in the shortest time possible. Table 3.8 shows the result of the compliance year assessment at the most relevant locations.

Option 4 will achieve compliance at all location by 2027, with the exception of the north section of Upper Maudlin Street that would be compliant only by 2030.

Option 2c will achieve compliance at all location by 2023, with the exception of the north section of Upper Maudlin Street that would be compliant only by 2024.

Table 3-8: Compliance Year at relevant locations for the Baseline 2021, Option 4 and Option 2c scenarios

Years	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031
Rupert Street											
Baseline	54.9	53.1	51.3	49.5	47.7	46.0	44.2	42.4	40.6	38.8	37.1
Medium CAZ D + CM	46.1	44.9	43.7	42.5	41.3	40.1	39.0	37.8	36.6	35.4	34.2
Small Car DieselBan + fleet improvements	42.8	41.4	40.1	38.7	37.3	35.9	34.5	33.1	31.7	30.3	28.9
Upper Maudlin Street (north)											
Baseline	67.2	64.8	62.4	60.0	57.6	55.2	52.8	50.4	48.0	45.6	43.2
Medium CAZ D + CM	52.4	51.2	50.0	48.8	47.6	46.4	45.2	44.0	42.8	41.6	40.4
Small Car DieselBan + fleet improvements	45.4	43.9	42.5	41.1	39.6	38.2	36.8	35.3	33.9	32.4	31.0
Upper Maudlin Street (south)											
Baseline	51.6	49.7	47.9	46.0	44.1	42.3	40.4	38.5	36.6	34.8	32.9
Medium CAZ D + CM	41.4	40.4	39.3	38.3	37.3	36.3	35.3	34.2	33.2	32.2	31.2
Small Car DieselBan + fleet improvements	36.9	35.8	34.6	33.5	32.4	31.2	30.1	29.0	27.8	26.7	25.6
Park Row											
Baseline	48.1	46.4	44.7	43.0	41.3	39.6	37.9	36.2	34.5	32.8	31.1
Medium CAZ D + CM	39.0	38.1	37.2	36.3	35.4	34.5	33.6	32.7	31.8	30.9	30.1
Small Car DieselBan + fleet improvements	33.5	32.4	31.4	30.4	29.4	28.4	27.4	26.3	25.3	24.3	23.3
Park Street											
Baseline	52.2	50.6	48.9	47.3	45.6	43.9	42.3	40.6	39.0	37.3	35.6
Medium CAZ D + CM	40.5	39.6	38.6	37.6	36.6	35.6	34.7	33.7	32.7	31.7	30.8
Small Car DieselBan + fleet improvements	36.3	35.0	33.7	32.5	31.2	29.9	28.7	27.4	26.1	24.9	23.6
Queen's Road											
Baseline	58.8	56.8	54.8	52.8	50.8	48.7	46.7	44.7	42.7	40.7	38.6
Medium CAZ D + CM	48.0	46.8	45.6	44.4	43.3	42.1	40.9	39.7	38.6	37.4	36.2
Small Car DieselBan + fleet improvements	43.0	41.6	40.2	38.8	37.4	36.0	34.5	33.1	31.7	30.3	28.9
College Green											
Baseline	52.1	50.1	48.0	46.0	43.9	41.9	39.8	37.8	35.7	33.7	31.6
Medium CAZ D + CM	39.1	38.0	36.8	35.7	34.6	33.4	32.3	31.1	30.0	28.9	27.7
Small Car DieselBan + fleet improvements	39.1	37.7	36.4	35.0	33.6	32.3	30.9	29.5	28.2	26.8	25.5
Newfoundland Way											
Baseline	47.3	45.6	43.9	42.2	40.6	38.9	37.2	35.5	33.8	32.1	30.4
Medium CAZ D + CM	41.4	40.2	39.0	37.8	36.6	35.4	34.2	33.0	31.9	30.7	29.5
Small Car DieselBan + fleet improvements	36.3	35.2	34.0	32.8	31.7	30.5	29.4	28.2	27.0	25.9	24.7
Church Road											
Baseline	50.5	48.6	46.6	44.7	42.7	40.8	38.8	36.9	34.9	33.0	31.0
Medium CAZ D + CM	45.6	44.0	42.5	40.9	39.4	37.9	36.3	34.8	33.2	31.7	30.2
Small Car DieselBan + fleet improvements	45.2	43.6	42.1	40.5	38.9	37.3	35.7	34.1	32.5	30.9	29.3

3.5 Economic Modelling Approach

JAQU's Option Appraisal Guidance states that each shortlisted option identified at SOC stage should be subject to detailed assessment of their overall costs and benefits and their distributional impacts. The results from these assessments are intended to allow local authorities to identify the preferred option for a scheme based on its value to society, distributional impacts and achieving compliance in the shortest possible time. However, the Options Appraisal Guidance is also clear that only option packages that are likely to lead to compliance as quickly as possible will be accepted, using some pass/fail criteria as part of the Primary Critical Success Factors.

As demonstrated in Section 3.4, none of the identified shortlisted options derived from the Options Assessment Report achieve compliance by 2021. However, two better performing options are identified:

- Option 4 – Medium area Class D charging option with complementary non-charging interventions
- Option 2c – Diesel car exclusion over a small area with bus and taxi fleet improvement to Euro 6 or better

The economic analysis presented below is predicated on a comparative assessment of the two options.

The economic modelling approach is aligned with JAQU’s Option Appraisal Guidance and gives full consideration to all of the economic impact types specified in that document. The results of the analysis are outlined in the following section; the overall framework and methodology applied to the analysis is presented in OBC-18 ‘Economic Methodology Report’ in Appendix F of this OBC.

3.6 Economic Impacts

3.6.1 Health and Environmental Impacts

3.6.1.1 Greenhouse Gas Emissions

By changing travel behaviours (including number of trips, trip mode and vehicle type), the intervention options may influence the quantum of Greenhouse Gas (GHG) emissions generated by road transport. A change in GHG emissions, and CO₂ emissions in particular, could generate variable effects on climate change processes.

Based on air quality modelling outputs, the impact of the intervention options can be summarised as follows:

- Medium area CAZ D: forecast to initially reduce and then slow the growth of GHG emissions for much of the appraisal period, before inducing acceleration in emissions in later years of the appraisal period.
- Small area diesel car exclusion: forecast to initially reduce emissions, then accelerate emissions from the mid-point of the appraisal period.

Relative to their respective baseline scenarios, both intervention options will therefore initially reduce the quantum of CO₂ emissions released into the atmosphere before increasing emissions at a later date. This impact is monetised through the application of Department for Business, Energy and Industrial Strategy (BEIS) carbon prices.

The monetised impact of a change in GHG emissions is presented in Table 3-9, which demonstrates that the scheme will generate a net benefit of almost £1.2 million over the ten-year appraisal period for the Medium area CAZ D intervention option. Due to the earlier onset of accelerated emissions under the Small area diesel car exclusion intervention option (potentially linked to the switch from diesel to petrol cars for some vehicle owners), the net impact is negative.

Table 3-9: GHG impacts

Impact	Medium area CAZ D	Small area diesel car exclusion
Cumulative Difference in CO ₂ Emissions, 2021-30 (tonnes)	(18,843)	2,308
BEIS Carbon Prices, 2021-2030 (£/tonne)	69.3 - 79.4	69.3 - 79.4
Present Value (PV) of Impact (£'s 2018 Prices and Values)	1,153,292	-116,651

3.6.1.2 Air Quality (PM/NO₂) Emissions

Based on air quality modelling outputs, the intervention options are forecast to reduce the level of PM and NO₂ emissions across the appraisal period, contributing to an improvement in air quality. Improvements in air quality can lead to a range of public health, natural and built environment benefits. These benefits can be monetised through the application of JAQU’s Damage Cost estimates.

The monetised impact of a change in air quality is presented in Table 3-10 which demonstrates that the intervention options will generate a benefit between £17 million and £21 million over the ten-

year appraisal period. The scale of benefit is greater in the Small area diesel car exclusion intervention option because this option is likely to induce existing diesel owners to upgrade vehicles or change travel patterns/behaviours.

Table 3-10: Air quality impacts

Impact	Medium area CAZ D	Small area diesel car exclusion
Cumulative Difference in NO ₂ Emissions 2021-2030 (tonnes)	655.54	626.9
NO ₂ Damage Costs 2021-2030 (£/tonne)	7,332-8,762	7,332-8,762
PV of NO₂ Change (£'s 2018 Prices and Values)	4,146,929	3,888,265
Cumulative Difference in PM Emissions 2021-2030 (tonnes)	118.29	150.39
PM Damage Costs 2021-2030 (£/tonne)	131,467-157,115	131,467-157,115
PV of PM Change (£'s 2018 Prices and Values)	12,841,002	17,060,067
Aggregate PV (£'s 2018 Prices and Values)	16,987,932	20,948,332

3.6.2 Impacts on Transport Users

3.6.2.1 Fuel Switch Impacts

The transport analysis assumes that some car drivers will switch fuel type from diesel to petrol, when upgrading their vehicle in response to the intervention option. The change in fuel switch costs is reflected in the change in vehicle operating costs to the user, captured as part of the DfT's Transport User Benefits Assessment (TUBA) presented in Section 3.7.2.5. No additional or separate analysis is provided here.

3.6.2.2 Transaction Costs

Based on the traffic forecasting analysis, the intervention options will accelerate the rate at which vehicle owners' purchase or upgrade to compliant vehicles. Each upgrading transaction incurs time costs for vehicle owners relating to identifying and buying a compliant vehicle. By applying JAQU's recommended transaction cost data (provided as part of the National Data Inputs for Local Economic Models) to the number of vehicles anticipated to upgrade, Table 3-11 suggests that the scheme will impose a transaction cost of between £83,000 and £149,000 over the ten-year appraisal period. The scale of transaction costs is higher for the Medium area CAZ D intervention option as more vehicles are induced to upgrade.

Table 3-11: Transaction cost impacts

Impact	Medium area CAZ D	Small area diesel car exclusion
Number of Vehicles Upgrading	27,012	15,228
Transaction Cost (£'s 2018 Prices and Values)	(148,856)	(82,831)

3.6.2.3 Consumer Welfare Impacts

The intervention options will affect consumer behaviour by inducing a change in travel behaviour for non-compliant vehicle trips (for example through upgrading vehicles, using alternative modes, cancelling journeys etc, as suggested by the stated preference survey, Section 3.3, and reflecting in traffic model forecasts). However, because consumers would have preferred their original action in

the baseline, this change in behaviour leads to a consumer welfare impact. Two elements of analysis were identified to estimate aggregate consumer welfare loss as a result of intervention:

- Welfare loss associated with vehicles upgrading earlier
- Welfare loss associated with changing travel patterns or behaviours (i.e. mode shift, cancelled journeys, diverted journeys)

The cost of upgrading was estimated by establishing the average cost differential for upgrading a vehicle in the intervention scenario, compared to the baseline scenario. The cost differential was driven by the change in depreciation rates over time and therefore, the change in residual vehicle value between replacement and replaced vehicles, at the time of upgrading in the intervention scenario, relative to the baseline scenario. As vehicles were expected to upgrade earlier in the intervention scenario, the cost of upgrading is expected to be higher as the difference in value between replacement and replaced vehicles is also expected to be higher.

By applying the average cost differential for upgrading to the number of vehicles, upgrading (split by vehicle type [i.e. cars, LGVs, buses etc) and upgrade type [i.e. to new or used vehicles]) the consumer welfare loss associated with upgrading earlier is estimated to cost between £30 million and £35 million, as shown in Table 3-12. The upgrading cost for the Small area diesel car exclusion intervention option is higher than for the Medium area CAZ D option. This is because the Small area diesel car exclusion intervention option will induce a greater number of newer (diesel) cars to upgrade ahead of otherwise planned. Note that this figure reflects use of the ‘rule of half’ to estimate the average loss to each upgrader.

Table 3-12: Consumer welfare: cost of upgrading impacts

Impact	Medium area CAZ D	Small area diesel car exclusion
Number of Vehicles Upgrading	27,012	15,228
Consumer Welfare Loss (£'s 2018 Prices and Values)	(29,995,696)	(35,097,830)

The cost of changing travel behaviour was estimated by establishing the number of vehicle trips in the baseline that would be fundamentally changed in the intervention scenario. The cost of each individual trip cancelled, changed or switched to a new mode was assumed to be equal to half the cost of the charge, where a charge applied (i.e. only in the Medium area CAZ D intervention option). This approach, in line with JAQU’s Options Appraisal Guidance, was adopted to reflect that only those trips that were valued at less than the cost of the charge were cancelled; any trips valued more than the charge were assumed to pay the charge. However, as it is not possible to value every trip that induced a behavioural response, each cancelled, changed or mode shifted trip was assumed to be valued at half the price of the charge.

For the Small area diesel car exclusion option, traffic modelling assumes that all diesel cars adhere to the exclusion zone. Therefore, no charge applies that is comparable to the CAZ charge. As such, no welfare loss is assumed for vehicle trips being changed under the Small area diesel car exclusion intervention option.

For the Medium area CAZ D intervention option, combining the number of vehicle trips changed with the adjusted charge to enter the zone Table 3-13 indicates that the consumer welfare loss associated with changing travel patterns or behaviours could cost nearly £210 million over the ten-year appraisal period.

Table 3-13: Consumer welfare: cost of changing travel pattern or behaviour impacts

Impact	Medium area CAZ D	Small area diesel car exclusion
Number of Vehicles Trips Changed	197,528,864	264,265,131
Consumer Welfare Loss (£'s 2018 Prices and Values)	(209,845,003)	0

3.6.2.4 Vehicle Scrappage Costs

As part of the upgrading process, it is assumed that the overall size of the vehicle fleet remains fixed. Therefore, for every new vehicle purchased (25% of all upgrades), an older vehicle is scrapped. The differential in lost asset value associated with scrapping a vehicle earlier in the intervention case relative to the baseline case allows monetisation of this impact. By combining the number of vehicles expected to be scrapped in the intervention scenario by the average differential in lost asset value between the intervention and baseline scenarios, Table 3-14 demonstrates that vehicle scrappage costs could amount to between £3 million and £9 million across the ten-year appraisal period.

The scale of vehicle scrappage impacts is larger for the Small area diesel car exclusion intervention option because the option will induce the scrappage of a greater number of high(er) value diesel cars that can no longer enter the exclusion zone. This drives up the average differential in lost asset value for vehicles under this intervention option, resulting in a high aggregate scrappage cost despite a lower number of vehicles being scrapped.

Table 3-14: Vehicle scrappage cost impacts

Impact	Medium area CAZ D	Small area diesel car exclusion
Number of Vehicles Scrapped	5,022	3,874
Vehicle Scrappage Costs (£'s 2018 Prices and Values)	(2,589,907)	(9,359,810)

3.6.2.5 Journey Time/Vehicle Operating Costs

By influencing travel patterns and behaviours, the intervention options could also have an impact on transport economic efficiency (TEE), measured in terms of changes to journey time savings and vehicle operating costs. By reducing vehicle flows, increasing vehicle speeds and reducing congestion, travel time could be reduced alongside reduced running costs. Using DfT's TUBA software, the change in vehicle movements induced by the intervention options could contribute to benefits in the region of £22 million to £72 million, based on journey time and vehicle operating cost benefits for road users in Bristol (Table 3-12).

The scale of benefits is considerably larger for the Medium area CAZ D intervention option. This is because the option has the potential to remove a larger volume of traffic over a larger area relative to the Small area diesel car exclusion intervention option

Table 3-15: Journey time/vehicle operating cost impacts

TUBA Impact Category	Medium area CAZ D	Small area diesel car exclusion
PV Travel Time Impacts (2010 prices and values)	45,889	16,700
PV Vehicle Operating Costs (2010 prices and values)	2,205	-2,057
PV Total (£'s 2018 Prices and Values)	£72,119,048	21,957,816

3.6.2.6 Accident Impacts

By changing travel patterns and behaviours, thus affecting vehicle trip numbers and speeds, the intervention options could influence the frequency and severity of accidents. The number of accidents and casualties is expected to reduce under both intervention options, leading to an accident benefit of between £315,000 and £471,000 over the ten-year appraisal period based on utilisation of DfT's CoBALT software (Table 3.16).

Table 3-16: Journey time/vehicle operating cost impacts

Accident Impact Category	Medium area CAZ D	Small area diesel car exclusion
PV of Accident Costs in Baseline (2010 prices and values)	16,355,400	16,355,400
PV of Accident Costs in Intervention (2010 prices and values)	16,145,900	16,041,300
Reduction in Accident Costs	209,500	314,100
PV Total (£'s 2018 Prices and Values)	314,154	471,007

3.6.2.7 Walking/Cycling Impacts

By inducing mode shift, the intervention options will increase the number of individuals making walking and cycling trips. This has a positive economic impact, primarily by improving general health of people, by walking and cycling more regularly, and by reducing absenteeism from work. Using the DfT's Active Mode Appraisal Toolkit, the forecast growth in the number of walking and cycling trips is expected to lead to a benefit of between £51 million and £55 million (Table 3-17).

The scale of impacts is greater in the Small area diesel car exclusion intervention option because more trips are induced to change mode relative to their alternative action in the baseline. This is partially driven by the fact that in the baseline for the Small area diesel car exclusion option, use of diesel cars within the exclusion zone is maintained at a high level throughout the appraisal period. All of these trips become non-compliant in the intervention option. In comparison, the number of trips in the Medium area CAZ D baseline option that would be non-compliant in the intervention option is initially higher, but drops markedly over the appraisal period as older cars are forecast to be replaced even in the absence of the intervention option.

Table 3-17: Walking/cycling impacts

Impact	Medium area CAZ D	Small area diesel car exclusion
Number of Trips Changing Mode	37,640,568	41,444,230
Number of New Cycling Trips	1,930,286	2,125,345
Number of New Walking Trips	25,093,712	27,629,487
PV Total (£'s 2018 Prices and Values)	51,258,892	55,194,944

3.6.3 Costs to Central and Local Government

3.6.3.1 Scheme costs

Tables 3-18 and 3-19 provide a summary of the costs for the scheme costs, further details will be provided in the financial case.

Table 3-18: Estimated Scheme Costs for Option 4 – Medium area CAZ D with complementary measures

Item	Estimated Cost
System Capital Costs	
CAZ system (cameras and back office)	£19,059,048
Street works (incl. power, comms and signage)	£3,736,250
Non-Charging Measures Capital Costs	
Vehicle scrappage scheme	£17,325,000
Business Rate Relief for SME's	£39,375,000
Total Scheme Capital Cost	£79,493,298
Revenue (Annual) Costs	
CAZ operations	£2,680,230
Maintenance and support	£562,091
Other ongoing costs (e.g. staff, scheme monitoring)	£771,981
Total Scheme Revenue (Annual) Cost	£4,014,302

Note:

The above cost estimates include optimism bias as defined in HMT Green Book for the relevant item classification.

The total capital cost excludes all costs associated with decommissioning of the CAZ system.

Table 3-19: Estimated Scheme Costs for Option 2c – Small area diesels car exemption with bus and taxi fleet improvements

Item	Estimated Cost
System Capital Costs	
CAZ system (cameras and back office)	£7,117,938
Street works (incl. power, comms and signage)	£1,436,951
Non-Charging Measures Capital Costs	
Vehicle scrappage scheme	£17,325,000
Business Rate Relief for SME's	£39,375,000
Total Scheme Capital Cost	£65,254,889
Revenue (Annual) Costs	
CAZ operations	£545,937
Maintenance and support	£223,119
Other ongoing costs (e.g. staff, scheme monitoring)	£755,706
Total Scheme Revenue (Annual) Cost	£1,524,762

Note:

The above cost estimates include optimism bias as defined in HMT Green Book for the relevant item classification.

The total capital cost excludes all costs associated with decommissioning of the CAZ system.

3.6.3.2 Set-Up Costs

The capital costs associated with delivering the scheme are estimated at between £66 million and £79 million, as summarised in Table 3-20. Costs are greater for the Medium area CAZ D intervention option because the enforcement system is more expensive to install (primarily attributable to the requirement for more ANPR cameras to cover a wider zone). More detail on the derivation of these costs can be found within OBC-33 'Project Costs' in Appendix J of this OBC.

Table 3-20: Set-up cost impacts (2018 prices and values)

Impact	Medium area CAZ D	Small area diesel car exclusion
PV of Capital Costs (£'s 2018 Prices and Values)	79,110,638	65,817,064

3.6.3.3 Running Costs

The operational costs associated with delivering the scheme are estimated at between £10 million and £30 million over the ten-year appraisal period, as summarised in Table 3-21. Costs are greater for the Medium area CAZ D intervention option due to the need to make contributions to the Clean Air Zone central payment system on an ongoing basis. Note that revenue associated with CAZ charges and Penalty Charge Notices (PCNs) are ignored from the analysis on the basis that this economic benefit to local/central Government is neutralised by the economic cost to individuals of paying the charge/fine.

Table 3-21: Operational cost impacts (2018 prices and values)

Impact	Medium area CAZ D	Small area diesel car exclusion
PV of Operational Costs (£'s 2018 Prices and Values)	30,085,478	10,290,754

3.6.4 Summary

By combining the economic impacts discussed in the previous sections, the intervention options could generate a NPV of between -£22m and £210m, as shown in Table 3-22. The economic costs for both intervention options therefore outweigh the economic benefits by a considerable margin, particularly for the Medium area CAZ D option. This is primarily driven by the loss in consumer welfare associated with changing travel patterns and behaviours, as well as onerous set up and running costs.

Table 3-22: Net economic impacts (2018 prices and values £)

Impact	Medium area CAZ D	Small area diesel car exclusion
Air Quality	£16,987,932	£20,948,332
NO _x	£4,146,929	£3,888,265
PM	£12,841,002	£17,060,067
Consumer Welfare	-£239,840,698	-£35,097,830
<i>Behavioural Response: Replace Vehicle</i>	-£29,995,696	-£35,097,830
<i>Behavioural Response: Cancel Trip/Avoid Zone/Re-mode</i>	-£209,845,003	£0
Vehicle Scrappage	-£2,589,907	-£9,359,810
Transactions	-£148,586	-£82,831
Traffic Flows	£72,119,048	£21,957,816
GHGs	£1,153,292	-£116,651
Set Up	-£79,110,638	-£65,817,064
Running Costs	-£30,085,478	-£10,290,754
Active Mode Impacts	£51,258,892	£55,194,944

Impact	Medium area CAZ D	Small area diesel car exclusion
Accident Impacts	£314,154	£471,007
Net Present Value (NPV)	-£209,941,989	-£22,192,840

To provide scale context, these NPVs, have been compared to the forecast GVA in Bristol (forecast at £137 billion in present value terms [2018 prices and values] between 2021-30). Across the 10 year period assessed, the NPV of the intervention options represent between -0.02% and -0.15% of present value GVA in B&NES over the same period.

3.7 Multi-criteria assessment

Allied to the economic modelling impacts monetised above, a multi-criteria assessment (MCA) was prepared at OAR stage to differentiate between the two shortlisted options. This supports the economic modelling by outlining the differential impact of the shortlisted options on a range of economic actors not explicitly considered as part of the core economic modelling. This includes employment markets, income deprivation, businesses and economic sectors (e.g. retail/leisure). It also incorporates some economic impacts considered within the economic modelling above (e.g. consumer welfare loss, vehicle scrappage costs and transaction costs).

3.7.1 Introduction

The qualitative economic analysis of options follows a two-step approach:

- Step One – outlines the baseline position for Bristol’s economy, covering a range of key economic indicators, in order to establish an economic narrative
- Step Two – multi-criteria assessment (MCA) of the potential impact of the various options on key economic indicators

The economic narrative established in Step One provides the context within which the MCA undertaken as part of Step Two is considered.

3.7.2 Step One: Economic Narrative

This section presents a brief economic narrative for the City of Bristol. It outlines key baseline economic indicators at both local authority level as well as for the varying spatial scales pertaining to the various Clean Air Plan options. The analysis contains a summary of the following indicators:

- Business count
- Employment data/labour market characteristics
- Deprivation analysis
- Vehicle compliance patterns

To establish the function and form of Bristol’s economy in the context of the forthcoming Clean Air Plan. This information is utilised to develop the multi criteria assessment presented later in this report.

3.7.2.1 Business Count

Business count data from National Online Manpower Information System (NOMIS) provides an insight into the number and size of businesses in a given context area. Businesses are classified into various sizes based on the number of employees within that business. The data illustrates that the Bristol economy consist of 22,170 businesses, with 18,025 of these classified as micro-businesses. Micro-businesses make up a significant proportion (81%) of the market structure within the local

authority, whilst SMEs account for 18% of all businesses within Bristol. Overall, micro and small businesses account for 96.3% of the business within Bristol. Table 3.23 below presents the distribution of businesses by type across Bristol.

Table 3.23: Business types within Bristol

Context Area	Business Type				Total
	Micro (0 to 9)	Small (10 to 49)	Medium-sized (50 to 249)	Large (250+)	
Bristol LA	18,025	3,320	700	125	22,170

Table 3.24 summarises the business count data pertaining to the geographic scales directly affected by potential intervention options (i.e. small area CAZ¹⁵ and medium area CAZ). Between 3,000 and 7,400 businesses are located within the small and medium boundaries respectively. These figures suggest that 13% of all Bristol businesses will be located within the small boundary and one-third will be located within the medium boundary.

The overarching theme, irrespective of the geographic scale, is that micro businesses make up the largest proportion of businesses. Further, combining micro and SME businesses reveals that around 99% of all businesses located within across the local authority and within small and medium boundaries employ fewer than 50 employees. Therefore, there is limited differentiation between the geographic scales from a business size perspective. That said, there are nearly 60% fewer micro businesses and SMEs within the small area CAZ boundary relative to the medium area CAZ boundary.

Table 3.24: Business types within CAZ proposals

Context Area	Business Type				Total
	Micro (0 to 9)	Small (10 to 49)	Medium-sized (50 to 249)	Large (250+)	
Small Area CAZ	2,210	675	145	35	3,065
Medium Area CAZ	5,985	1,075	245	55	7,360

Business count data was also considered for two key sectors within the Bristol economy: tourism¹⁶ and retail¹⁷. Table 3.25 reveals that for as per the economy-wide analysis, micro businesses in the retail sector comprise a majority of the market structure, irrespective of context area being analysed. Within the small area CAZ boundary, micro-businesses make up 71% of the businesses, this increases to 80% and 79% for the medium area CAZ and Bristol respectively. It should be noted that there is also a large presence of small retail businesses in the small CAZ area, 27%, this drops to 19% at the Medium area CAZ area and Bristol geographical measures. In total, all retail businesses at all geographic scales are defined as micro or SMEs. At a spatially disaggregated level, less than 40% of Bristol's retail businesses are located within the Medium area CAZ area, and only one-third of these are located within the small CAZ area.

¹⁵ Used as a proxy for small area over which the diesel car exclusion zone is applied

¹⁶ The definition of tourism is based on ONS' 'workers in the tourism sector' report

¹⁷ The definition of retail is based on the SIC category 47

Table 3.25: Retail businesses by type

Industry	Business Type				
	Micro (0 to 9)	Small (10 to 49)	Medium-sized (50 to 249)	Large (250+)	Total
Small Area CAZ	180	70	5	0	255
Medium Area CAZ	605	140	10	0	755
Bristol	1,565	375	30	0	1,970

Similar patterns are evident within the tourism sector. Micro businesses make up majority of the market share, with 61% of tourism related business in the small area CAZ being micro. This increases to 77% and 75% for both the medium area CAZ and Bristol respectively. Small businesses in the small CAZ make up 36% of the market share, this is higher than the 23% in the medium area CAZ and 24% in Bristol. In total, all tourism businesses at all geographic scales are defined as micro or SMEs. At a spatially disaggregated level, less than 40% of Bristol’s tourism businesses are located within the medium area CAZ boundary, but the majority of these (nearly 80%) are located within the small area CAZ boundary. This suggests a disproportionate number of tourism businesses are located within the small area CAZ boundary; this is understandable given that Bristol City Centre falls within this zone.

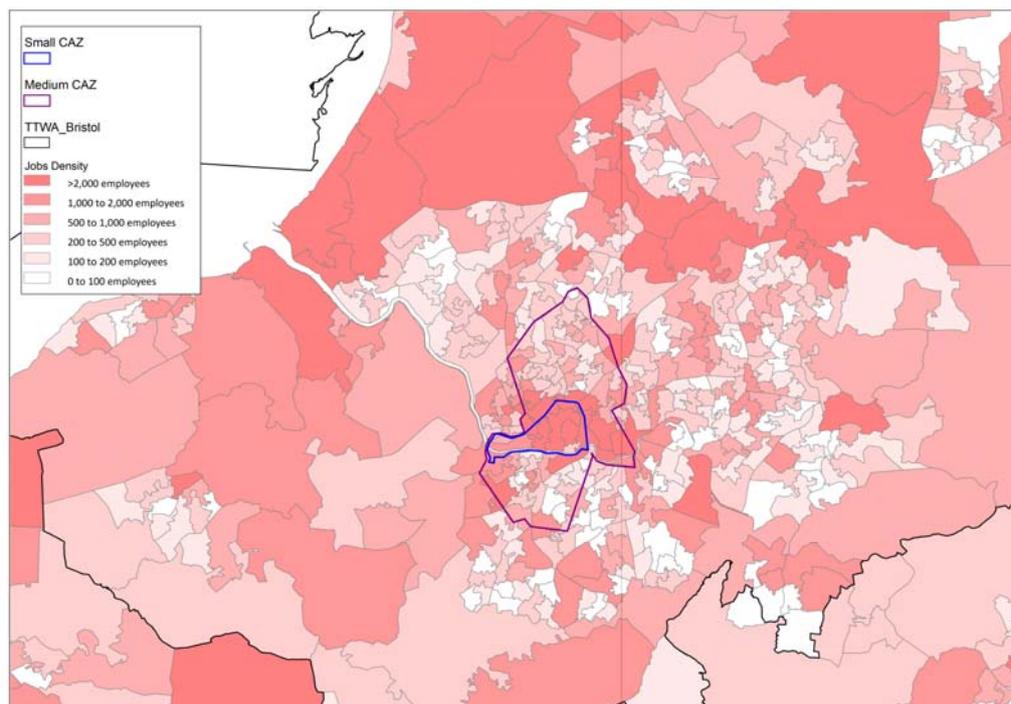
Table 3.26: Tourism businesses by type

Industry	Business Type				
	Micro (0 to 9)	Small (10 to 49)	Medium-sized (50 to 249)	Large (250+)	Total
Small Area CAZ	295	175	15	0	485
Medium Area CAZ	480	140	0	0	620
Bristol	1,270	405	15	0	1,690

3.7.2.2 Labour Market Characteristics

Employment density outlines the distribution of jobs across Lower Super Output Areas (LSOAs) that make up Bristol, as per data from the Business Register and Employment Survey (BRES). This data has been mapped and is presented as Figure 3.4. The analysis demonstrates that LSOAs that predominantly lie within the small CAZ boundary have the highest jobs density, with more than 2,000 employees per LSOA. Whilst the work illustrates that LSOAs outside the city centre generally have a lower jobs density. Overall, there is a clear concentration of employment within Bristol City Centre, which lies within the small area CAZ boundary. Nevertheless, because the medium area CAZ boundary includes the small area CAZ boundary, the total level of employment within the medium area CAZ boundary exceeds the smaller boundary.

Figure 3.4: Employment Density in Bristol



The trends presented in Figure 3.4 are reflected in Table 3.27, which illustrates the sectoral profile of employment for Bristol and the focussed geographic scales, compared to national benchmarks. The analysis reveals that within the small area CAZ boundary the main industries of employment are business services (industrial sectors: J, K, L, M, and N). A larger proportion of individuals, 63%, are employed within these industries in the small area CAZ boundary relative to the medium area CAZ boundary (45%), Bristol local authority area (35%) and nationally (28%). These sectors tend to make a significant contribution to economic output and value added, as well as offering competitive salaries. As has been mentioned previously, the small CAZ boundary includes Bristol City Centre which is where the majority of business services jobs are located.

Table 3.27: Proportion of individuals in industrial sectors by context area

Industrial Sectors	Small CAZ	Medium area CAZ	Bristol	England
Agriculture, forestry & fishing (A)	0%	0%	0%	1%
Mining, quarrying & utilities (B,D and E)	1%	2%	1%	1%
Manufacturing (C)	1%	2%	4%	8%
Construction (F)	1%	2%	4%	5%
Motor trades (Part G)	0%	1%	2%	2%
Wholesale (Part G)	0%	2%	4%	4%
Retail (Part G)	7%	7%	8%	9%
Transport & storage (inc postal) (H)	1%	3%	4%	5%
Accommodation & food services (I)	9%	8%	7%	7%
Information & communication (J)	10%	7%	6%	4%
Financial & insurance (K)	14%	10%	7%	4%

Property (L)	1%	1%	1%	2%
Professional, scientific & technical (M)	19%	15%	11%	9%
Business administration & support services (N)	17%	12%	10%	9%
Public administration & defence (O)	10%	7%	4%	4%
Education (P)	2%	7%	9%	9%
Health (Q)	3%	10%	15%	13%
Arts, entertainment, recreation & other services (R,S,T and U)	4%	4%	4%	5%

Focussing specifically on the previously defined retail and tourism sectors, over 4,400 and 4,600 individuals are employed within the tourism and retail sectors respectively within the small CAZ boundary. The number of employees in these sectors increases to over 11,000 in the retail sector and nearly 18,000 individuals in the tourism sector across the medium area CAZ boundary. At a spatially disaggregated level, more than 50% of all retail employment in Bristol is located within the Medium area CAZ boundary (less than half of which is also found in the small area CAZ boundary). Around 40% of all tourism jobs in Bristol are also located within the medium area CAZ boundary (only a quarter of which are also included in the small area CAZ boundary), Therefore based on employment, the medium area CAZ area is home to a disproportionate level of retail and tourism employees.

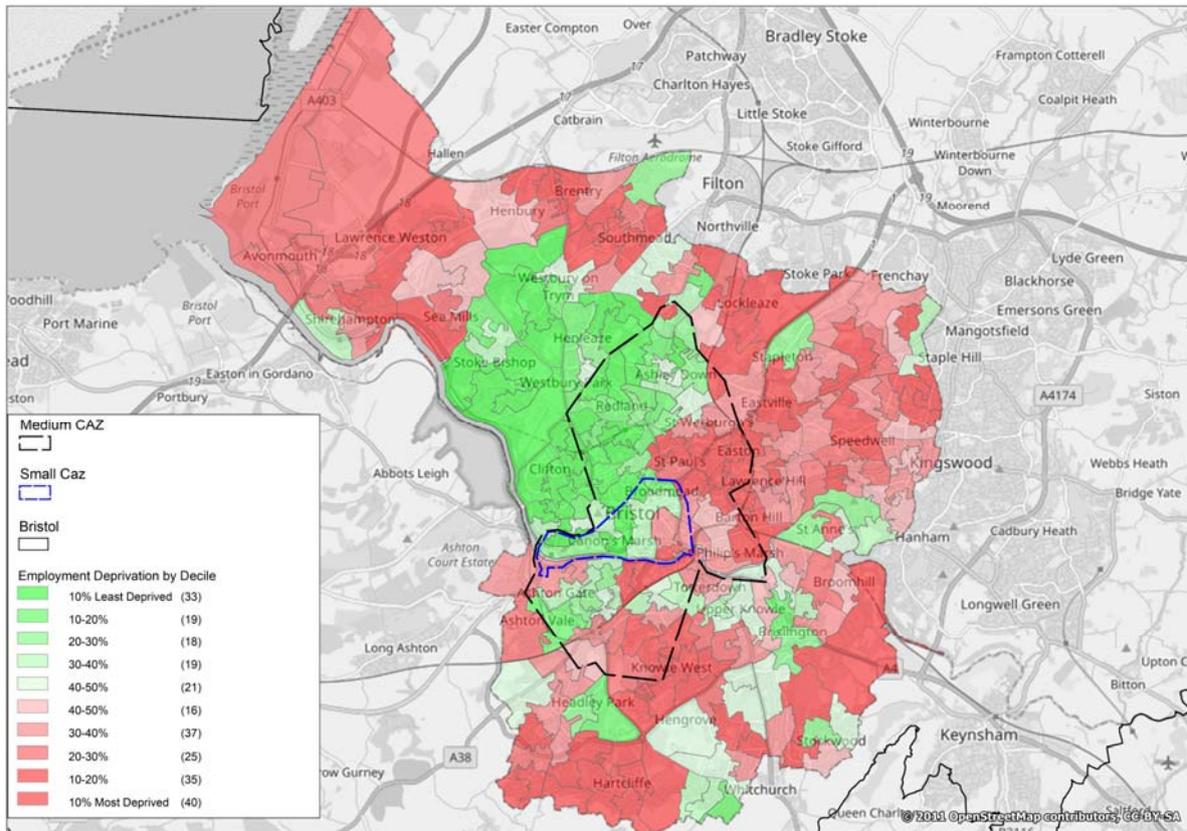
Table 3.28: Number of individuals employed across different sectors

Context Area	Retail	Tourism
Small Area CAZ	4,620	4,380
Medium Area CAZ	11,005	17,645
Bristol	20,050	45,695

3.7.2.3 Deprivation Analysis

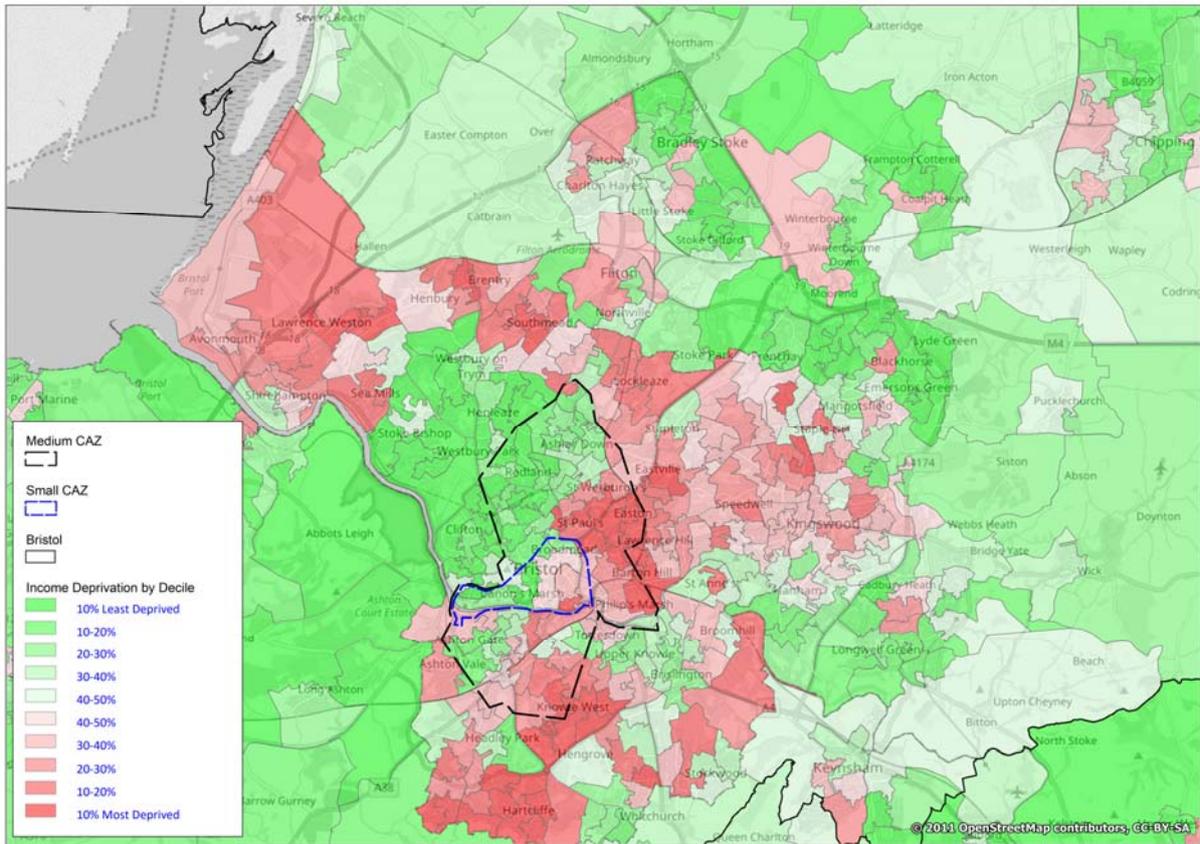
Employment deprivation data from the Indices of Multiple Deprivation reveals that the majority of the LSOAs that lie within the small area CAZ are amongst the least deprived nationally, in terms of employment deprivation. This indicates the strong economic performance of the city centre which is encompassed by the small area CAZ. The medium area CAZ illustrates that there is a pocket of LSOAs to the north-west of the small area CAZ boundary that suffers from acute employment deprivation.

Figure 3.5: Employment Deprivation



Income deprivation data from the Indices of Multiple Deprivation reveals that overarching trends are consistent with employment deprivation patterns. Communities within the small area CAZ boundary are amongst the least income deprived in comparison to the communities nationally. However, there are few pockets of income deprivation of varying degrees on the west side of the zone. For the medium area CAZ boundary, significant income deprivation is apparent in to the north-west of the small area CAZ boundary.

Figure 3.6: Income Deprivation



3.7.2.4 Vehicle Compliance Patterns

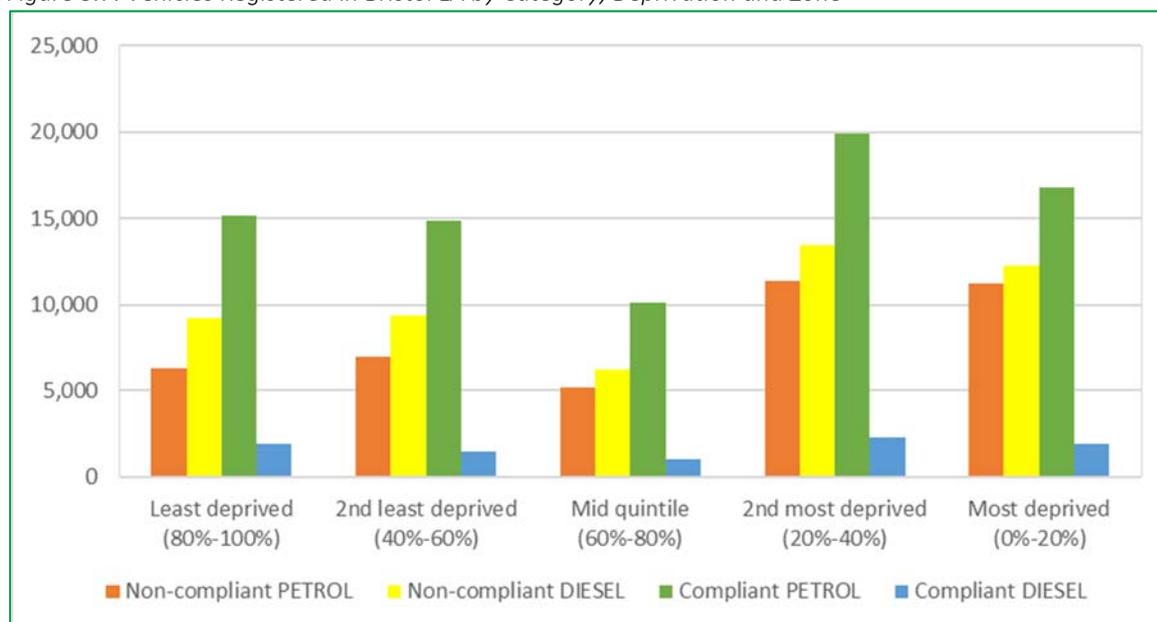
Cross-referencing those communities that fall within the two most income deprived quintiles with vehicle registration data reveals that there are large numbers of vehicles registered to properties in low-income areas that use diesel fuel and/or fail to meet current air quality standards within the small and Medium area CAZ areas. Table 3.29 reveals that there are 16,000 non-compliant cars and LGVs registered in low-income areas within the medium area CAZ boundary, as well as 13,000 diesel vehicles. Further, there are more than 350 non-compliant cars and LGVs registered in low-income areas within the small area CAZ boundary, as well as more than 300 diesel vehicles. These could be vulnerable to any future charge or punitive action against non-compliant vehicles within the medium or small area boundary.

Table 3.29: Number of Vehicles Registered to Communities within the Two Most Income Deprived Quintiles

Vehicles Registered in Two Most Income Deprived Quintiles	Small CAZ	Medium area CAZ
Non-Compliant Cars	282	9,675
Non-Compliant LGVs	72	6,126
Diesel Cars	234	5,905
Diesel LGVs	89	7,026

Overall, Figure 3-7 indicates that non-compliant vehicles and diesel vehicles are concentrated in the most deprived communities in Bristol.

Figure 3.7: Vehicles Registered in Bristol LA by Category, Deprivation and Zone



The number of LGVs registered within an LSOA is reflective of certain types of business activity occurring within it (e.g. tradespeople, courier services, sole-proprietors). LGV registration data reveals that 86% of LGVs that are registered within the small area CAZ boundary are non-compliant with regulations. Whilst 88% of those in the medium area CAZ and 90% of those registered in Bristol are non-compliant.

Table 3.30: Proportion of compliant and non-compliant LGVs¹⁸

Context area	Compliant		Non Compliant	
	Petrol	Diesel	Petrol	Diesel
Small area CAZ	0	58	0	361
Medium area CAZ	5	1,225	151	8,643
Bristol	10	2,562	341	22,048

Whilst vehicle registration is not a sound proxy for the business activities and patterns of LGV users, the data gives an indication of the number of LGV users that are based in certain areas. The analysis suggests that only a small proportion of the non-compliant LGV owners within Bristol are based in the small area CAZ boundary. However, the medium area CAZ boundary extends across nearly 9,000 non-compliant LGVs, amounting to around 40% of all non-compliant LGVs in the whole of Bristol.

3.7.3 Step Two: Multi-Criteria Assessment

3.7.3.1 MCA Methodology

Based on the key issues identified in the economic narrative above, combined with key transport impacts anticipated as a result of intervention, this section presents an MCA of the shortlisted Clean Air Plan options. The MCA provides qualitative information about each shortlisted option based on the impact of that option on various key economic indicators:

- Deprivation / income

¹⁸ For this analysis the LSOA E01014623 has been excluded as its deemed to be an outlier.

- Businesses - SMEs
- Businesses – LGVs/HGVs
- Businesses – Taxis
- Consumer Welfare costs
- Vehicle Scrappage costs
- Transaction costs
- Effects to the employment market
- Retail/tourism

The MCA uses a combination of qualitative and quantitative analysis to assess the relative impact of each option against the above indicators. Broadly speaking, qualitative judgements are based on:

- The geographical extent of the options, with options covering a wider area assumed to affect more economic receptors (i.e. businesses, employees) than smaller areas.
- Whether the options impose absolute restrictions and/or charges on economic receptors, with absolute restrictions considered to have greater impact than charges.

Quantitative judgements are informed by the baseline data presented in Section 3.6.2, alongside transport modelling data which provides an indication of the scale of any changes to travel patterns and behaviours induced by the various options.

Table 3.31: MCA Criteria

Economic Indicator	MCA Criteria
Deprivation / income	The Indices of Multiple Deprivation ranks lower super output areas according to the extent of income deprivation within that area. Options which extend across and therefore directly affect communities with high levels of income deprivation will score badly. Further, Options that indirectly affect communities with high levels of income deprivation (e.g. affecting Journey to Work patterns based on the Census 2011) will also score badly.
Businesses - SMEs	SMEs are considered to be particularly vulnerable to changes in economic conditions. Options that extend over and therefore directly affect a larger number of SMEs will score badly. Options that indirectly affect travel choices for a larger number of customers/suppliers/employees of SMEs will also score badly.
Businesses – LGVs/HGVs	LGVs/HGVs act as the main mode of transport for many economic activities. Options that extend over and therefore directly affect a greater number of registered addresses for LGVs/HGVs will score badly. Options that indirectly affect travel supplier/delivery patterns for most businesses will also score badly. Options that do not discriminate against LGVs/HGVs will score best.
Businesses – Taxis	Taxis are typically older and fail to meet current air quality standards. Taxis are therefore vulnerable to options that introduce a CAZ D. Options that affect a wider geographical area are likely to affect a greater number of taxis and will therefore score badly. Options that include retrofitting/upgrades for taxis will alleviate air quality non-compliance and therefore score well.
Consumer Welfare costs	Consumer welfare loss is associated with two elements: 1) the additional cost of upgrading sooner rather later, relating to reduced impact of depreciation on vehicle values. Options resulting in more upgrades will induce a greater welfare loss. 2) the cost of changing travel behaviour to avoid zone, cancel journey, change mode, change destination. This cost is valued at half the cost of the CAZ charge, otherwise individuals would continue to make the same journey using the same behaviours. Options resulting in more changes in travel behaviours will induce a greater welfare loss.
Vehicle Scrappage costs	Vehicle scrappage costs capture the loss in asset value associated with scrapping a vehicle earlier than would otherwise be the case without intervention. This results in vehicles being scrapped when they have greater residual value. JAQU assumes that 25% of all upgrades will result in a new vehicle being purchased. For every new vehicle purchased, JAQU's working assumption is that an older vehicle within the fleet will be scrapped. Options resulting in more upgrades will induce more new vehicles being purchased resulting in a greater number of scrapped vehicles and therefore higher vehicle scrappage costs. Options that necessitate scrappage of newer, more valuable vehicles will also generate higher vehicle scrappage costs.
Transaction costs	Some policies, will bring forward vehicle owners' decisions to purchase newer, cleaner vehicles. This will result in a cost to these owners in having to locate a vehicle that is to their taste. This type of

Economic Indicator	MCA Criteria
	expense is termed, in economics, a transaction (or search) cost. Options resulting in more upgrades will induce greater transaction costs.
Effects to the employment market	By influencing travel patterns and behaviours, the options could fundamentally alter the structure of the labour market by encouraging labour supply to look at labour demand in other locations. Options that trigger the greatest change in travel behaviour (measured in terms of change in the number of employment trips that avoid zone, cancel journey/change mode/change destination) will score badly, as by implication, labour will be working elsewhere suggesting a change in jobs density as a result of the option. Options that affect a greater number of jobs will also score badly.
Retail/tourism	The retail and tourism sectors are core activities within Bristol's economy. Options that extend over and therefore directly affect a larger level of employment and business will score badly. Options that will affect travel patterns of customers/suppliers/employees will also score badly.

3.7.4 MCA Outputs

Table 3.32 presents the output of the MCA, based on qualitative and quantitative appraisal of the impact of each option on each economic indicator. This is a relative assessment of one option against the other. The analysis demonstrates that a diesel car exclusion over a small area (with associated taxi/bus fleet improvements) is the preferred option from an economic perspective. This is because it does not discriminate against key economic receptors (e.g. taxis/HGVs) and is expected to induce fewer changes in travel patterns and behaviour (thus minimising consumer welfare, vehicle scrappage and transaction costs), relative other options. The medium area CAZ D option is least preferred; due to its wider geographic coverage it is anticipated to impact on a greater number of economic receptors than other options, even though it does not propose an absolute ban on any particular vehicle type. Differences between options against economic indicators are set out in Table 3.32.

Table 3.32: Differences between options against economic indicators

Economic Indicator	Options	
	Medium Area CAZ D	Diesel car exclusion over a small area – and taxi/bus fleet improvement
Deprivation / income	This option will extend across and therefore directly affect areas north-west and south of Bristol City Centre, which have a high concentration of income deprivation. A high number of non-compliant vehicles (8,700) are registered to households in low-income areas within this boundary and will be charged. Low income households are least likely to be able to afford the charge or to upgrade their vehicle. Further, a high number of residents of low income areas within Bristol that lie outside the Medium Area CAZ boundary are required to travel into the medium Area CAZ boundary for work (9,500 employees). They could face additional charges that could affect employment and therefore exacerbate income deprivation.	This option will extend across areas to the west of Bristol City Centre, which have a high concentration of income deprivation. The extent of non-compliant vehicles registered within the area is significantly less than for the medium area CAZ (though nearly 250 diesel cars will be banned). Low-income households are least likely to be able to upgrade their vehicle, and the diesel ban is absolute. Further, a moderate number of residents of low income areas within Bristol that lie outside the small area CAZ boundary are required to travel into the small area CAZ boundary for work (5,100 employees). They could face a complete ban on travel which could affect employment and therefore exacerbate income deprivation.
Businesses - SMEs	This option will extend across and therefore directly affect the largest number of SMEs (7,300 businesses with less than 50 employees). As the option charges non-compliant cars as well as other forms of non-compliant vehicles, employees and customers for SMEs may be affected as well as suppliers. That said, there is no outright ban on diesel cars.	This option extends across a smaller area and will therefore directly affect fewer SMEs (3,000 businesses with less than 50 employees). However, rather than charging non-compliant cars, the option restricts access within the small area CAZ boundary. In the absence of a charging CAZ and any restriction on non-compliant HGVs/LGVs, suppliers will not be affected by the option.

Economic Indicator	Options	
	Medium Area CAZ D	Diesel car exclusion over a small area – and taxi/bus fleet improvement
Businesses – LGVs/HGVs	A high number of non-compliant LGVs are registered within the medium area CAZ and are therefore directly affected by medium area CAZ C (8,800 vehicles) via imposition of charges. Further, nearly 7,400 businesses are located within the medium boundary; their operations (in terms of suppliers/deliveries made by LGVs/HGVs) could be affected.	This option does not impose absolute restrictions or charges on HGVs and LGVs, meaning such vehicles are unaffected.
Businesses – Taxis	Under this option, non-compliant taxis will be charged for entering the medium area CAZ boundary. As the Medium area CAZ covers a wide geographical area, a significant number of taxi trips within Bristol are likely to be affected (including trips to/from Bristol City Centre), so a large portion of the (non-compliant) taxi fleet could be affected.	This option will improve the taxi fleet without imposing absolute restrictions or charges. Taxis can therefore continue to operate as they do now.
Consumer Welfare costs	This option involves the largest consumer welfare loss (£240m; see Section 3.6)	This option involves a smaller consumer welfare loss (£35m; see Section 3.6)
Vehicle Scrappage costs	This option involves a smaller aggregate vehicle scrappage cost (£3m; see Section 3.6)	This option involves a larger aggregate vehicle scrappage cost (£9m; see Section 3.6)
Transaction costs	This option involves the largest transaction cost (£149,000; see Section 3.6).	This option involves a smaller transaction cost (£83,000; see Section 3.6).
Effects to the employment market	This option involves the smallest number of daily trips avoiding the zone, cancelling journey/changing mode/changing destination. This implies that supply patterns are least influenced by this option. Data on car-based employment trips is consistent with this view (3,600 daily trips impacts; lowest of any option).	This option involves a high number of daily trips avoiding the zone, cancelling journey/changing mode/changing destination. This implies that labour supply patterns are significantly influenced by this option. Data on car-based employment trips is consistent with this view (6,000 daily trips impacts; joint highest of any option).
Retail/tourism	Focussed on the medium area CAZ boundary, this option extends across and therefore directly impacts a higher number of retail/tourism jobs and businesses than the small area option (c. 28,000 employees and 1,400 businesses) Further, some employees, customers and tourists may be deterred from travelling to the medium area CAZ area due to the charge on all non-compliant vehicles. Further, the CAZ D designation will impose charges on LGVs/HGVs, thus making supplies/deliveries to retail and tourism businesses more expensive/difficult. That said, there are no absolute restrictions on car use.	Focussed on the small area CAZ boundary, this option extends across and therefore directly impacts a lower number of retail/tourism jobs than the medium area CAZ option (c. 9,000 employees and 700 businesses). However, some employees, customers and tourists may be prevented from travelling to the small area CAZ area due to the absolute restriction on diesel cars. That said, LGVs/HGVs will not be restricted or charged for access, meaning such vehicles are unaffected.

3.8 Distributional and Equalities Assessment

The distributional and equalities analysis has been conducted relating to the locations where the benefits/disbenefits accrue and it has been mapped to the individuals that live in those areas. The analysis represents the relative distribution of impacts on socio-economic quintiles compared to the

quintiles' population share across the Bristol City Council area. The assessment is presented in the distributional and equalities analysis report appended to the OBC (Reference Appendix H OBC-31). The key conclusions from this work are:

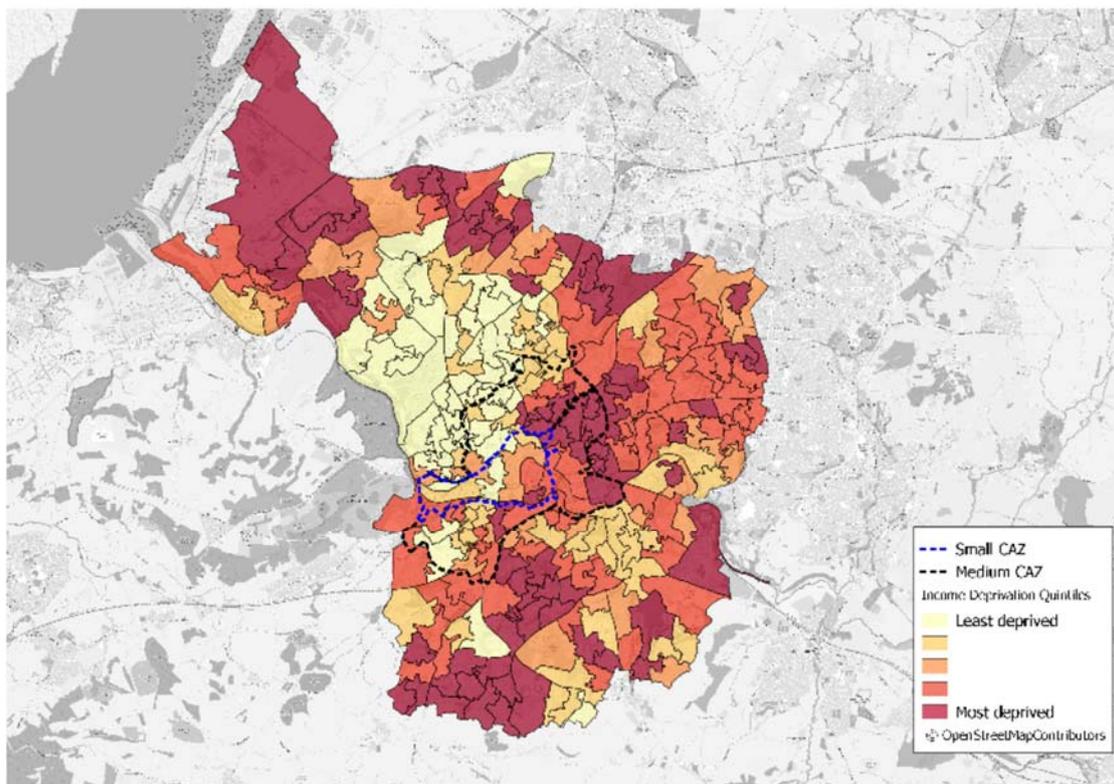
- Air quality benefits are felt by all neighbourhoods. The positive impacts of improved air quality disproportionately fall on the least income deprived communities alongside those communities with the most children and elderly residents.
- Accessibility impacts are adverse across the full range of relevant socio-economic groups. Accessibility impacts fall most heavily on the middle quintiles of income deprived communities, those communities with the most children and those communities that have the lowest proportions of females. Further, impacts are disproportionately felt by those communities towards the higher quintiles in terms of concentration of ethnic minorities, middle quintiles for disabled residents and more evenly for elderly residents.
- Affordability impacts are adverse across the full range of relevant socio-economic and business groups. Impacts are disproportionately felt by the most income deprived communities. They also fall on businesses operating non-compliant LGVs and HGVs who are either based in the CAZ areas or operate within central Bristol.

3.9 Spatial analysis of the impact of the scheme options on low income households

In defining and implementing a CAZ, consideration is being given to potential impacts on residents and businesses, including disadvantaged groups such as lowest-income households. It is recognised that affordability impacts are often disproportionately felt by the most income deprived communities. As such, the implementation of a scheme which includes charging or requires upgrading of vehicles could overly penalise vulnerable groups in society, depending on the geographic location, scale and the structure of vehicle compliance standards.

One of the most deprived areas in Bristol is located within a potential small CAZ area (Totterdown), with several areas included within a potential medium area CAZ option focussed around the central eastern portion of the zone, as shown in the following map (such as Lawrence Hill and Easton). These lowest-income areas, plus others that neighbour the potential zone, need to be given special consideration as a CAZ could directly impact them daily if they drive into/through the area or have a noncompliant vehicle.

Figure 3.8: Income distribution map



The assessment work has showed the following response from the lowest income group modelled:
Medium area CAZ D with complementary measures:

- 542 people pay the £9 charge a day;
- 5,599 people choose to upgrade their vehicle, at a cost of £5,733 for a petrol car, and £4,431 for a diesel car; and
- 6,320 people choose to change their route, mode, destination or change mode.

Small area car diesel ban with bus and taxi fleet improvements:

- 4,680 people choose to upgrade their vehicle; and
- 6,867 people choose to change their route, mode, destination or change mode.

Any CAZ or diesel car ban is likely to impact on residential areas both within and on the edges of the area. To understand the relationship between the lowest-income areas and destinations in the city centre, the number of trips made into the small and Medium area CAZ areas in noncompliant cars has been mapped for the AM and PM peaks. The lowest-income areas have been ranked based on the number of trips made, as the following maps show.

Figure 3.9: Low income areas: number of trips (ranked) made by no-compliant cars to the small CAZ area in the AM peak

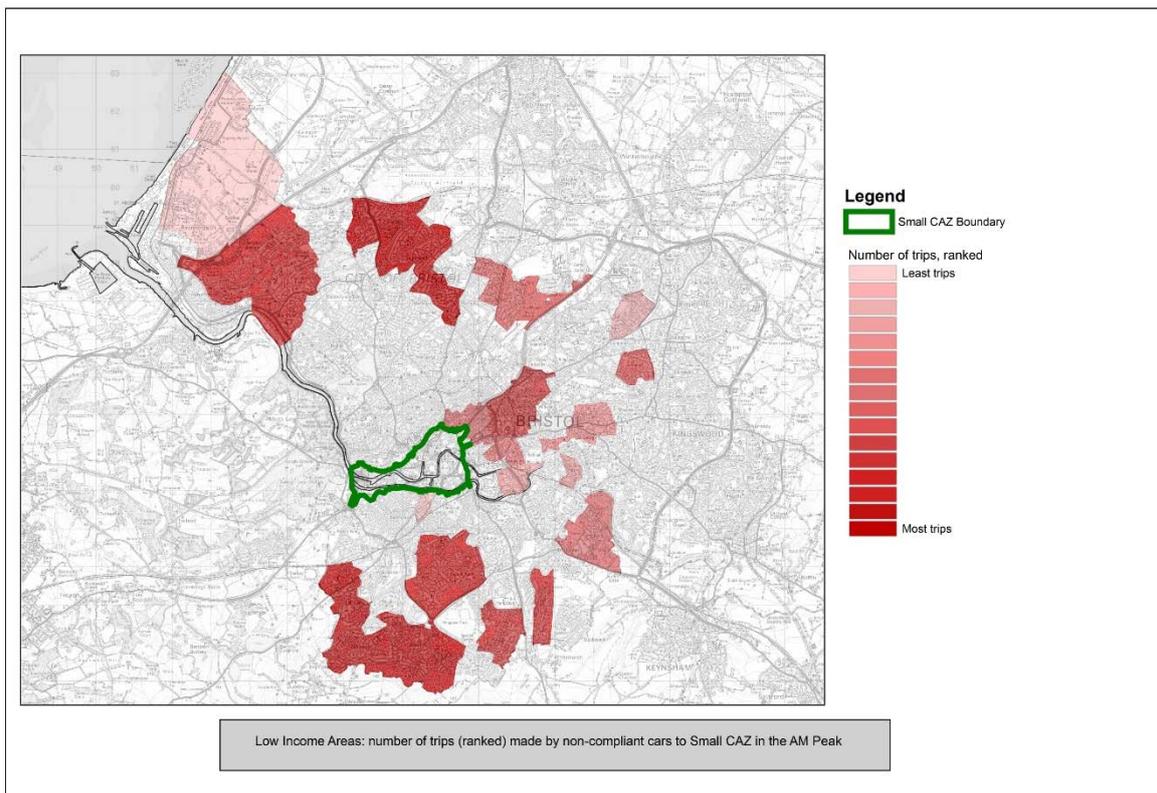
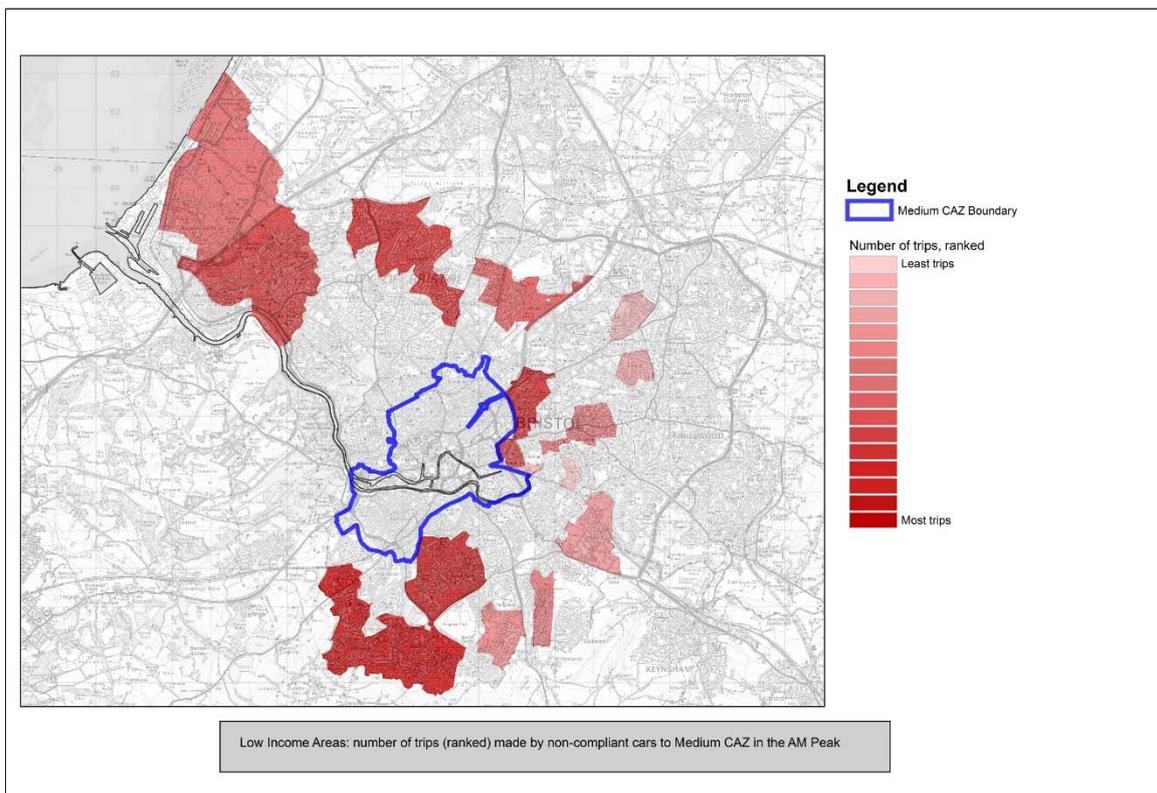


Figure 3.10: Low income areas: number of trips (ranked) made by no-compliant cars to the Medium area CAZ area in the AM peak



In the AM peak, most trips into the Medium area CAZ area by noncompliant cars come from the lowest-income areas in the south and north of the Bristol area, including Hengrove and Avonmouth. There is a close relationship with the area immediately to the east of the boundary (around Lawrence Hill and Easton), some of which is included in the Medium area CAZ area (e.g. St Philips), but generally trips from the eastern lowest-income areas generate fewer car trips. This could reflect the availability of alternative modes to make trips from these areas and suggests public transport could be less viable from the south.

Figure 3.11: Low income areas: number of trips (ranked) made by no-compliant cars to the small CAZ area in the PM peak

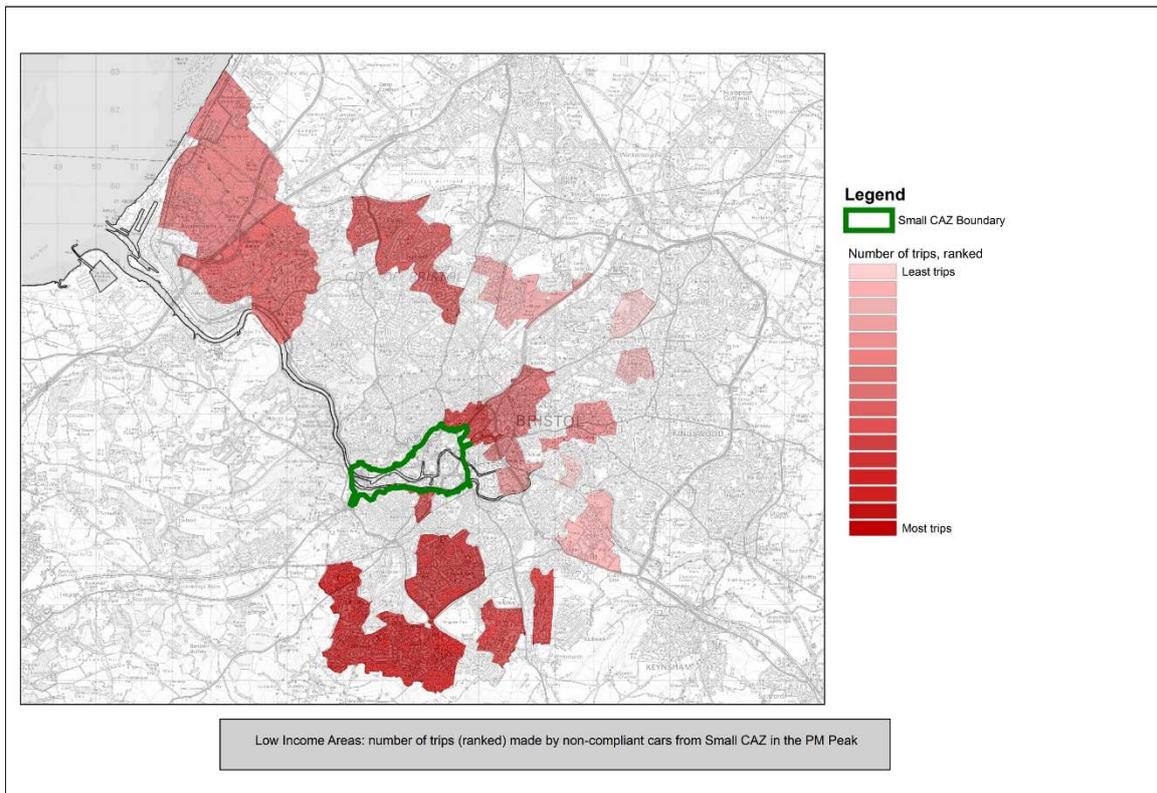
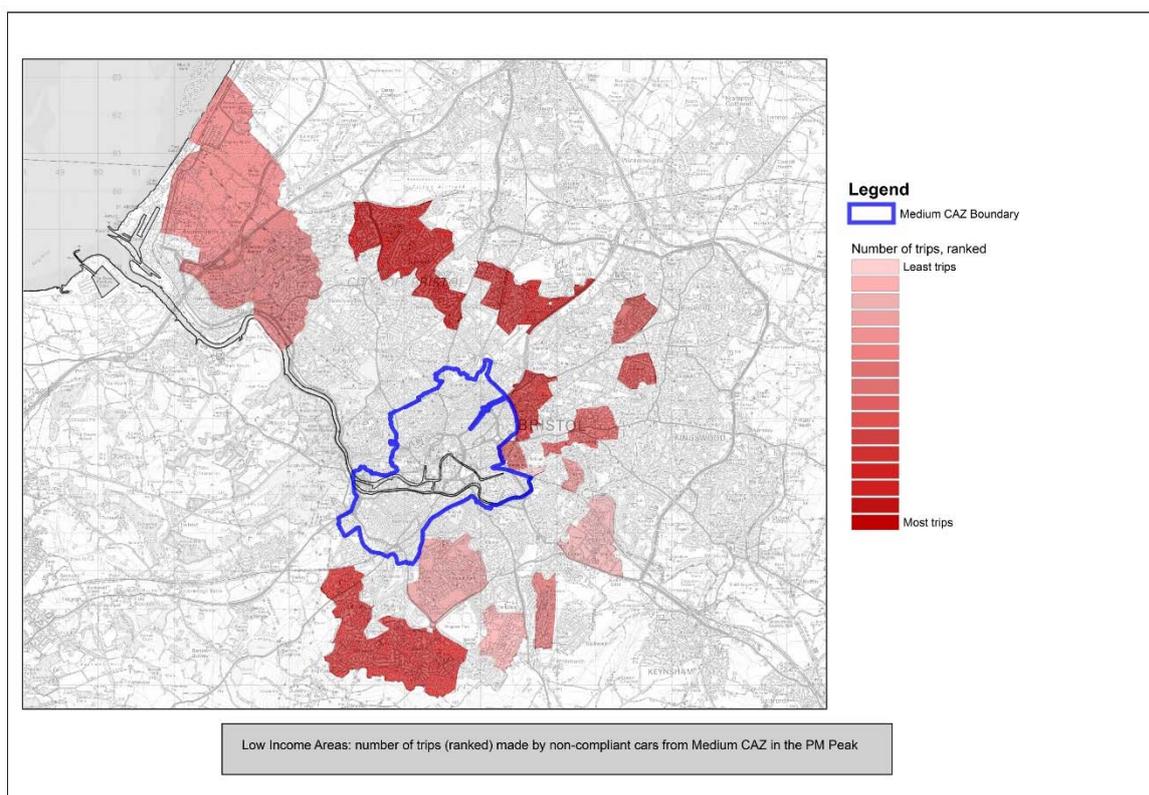


Figure 3.12: Low income areas: number of trips (ranked) made by no-compliant cars to the Medium area CAZ area in the PM peak



In the PM peak, the maps show that lowest-income areas with the highest ranking for noncompliant car trips out of the medium and small CAZ areas are to the north and south of Bristol, in areas such as Southmead and Hengrove with fewer trips to the areas further east. The eastern area, around St Philips, that is included within the Medium area CAZ area but bounds the small CAZ area is also ranked quite highly. With the Medium area CAZ area, the ranking of the lowest-income areas to the south east of Bristol, around Hengrove, is much lower than with the small CAZ area.

3.9.1 Summary of likely impacts to low income households

The maps provide a proxy for how the lowest-income areas relate to a CAZ. For AM and PM peak trips, public transport could offer an alternative for trips into the city centre from lowest-income areas. For those in areas closer to the city centre, walking and cycling could offer a viable alternative to car use. It is recognised that a CAZ will have direct impacts for some lowest-income families who do not have a choice to travel by another mode. This could be due to mobility issues or employment not being in central areas that can be easily accessed by alternative modes.

This analysis has not considered noncompliant car trips with origins/destinations in the lowest-income areas that travel through the city centre, such as to employment sites on the opposite side of Bristol. The city centre may currently provide the most direct and quickest routes for some people, but with the introduction of a CAZ there could be financial implications or increases in journey time and distance because of the need to re-route trips. Although this would positively contribute to the air quality objectives, it could have a detrimental impact on lowest-income families and the ability to access employment.

The outputs of the economic modelling undertaken suggest that for the medium area CAZ D plus complementary non-charging interventions option, people are not likely to pay a charge to drive into the CAZ (£9/day), they are most likely to avoid the zone or cancel the journey/change mode or destination. They are also much more likely to replace their vehicle than pay the charge. Under the small car diesel ban plus taxi and bus Euro 6 option, paying a charge is not an option, and more

people (bigger difference than with medium area CAZ D) are likely to avoid the area or cancel a trip, than replace their vehicle. For lowest-income households, this could mean that people may not be able to afford to drive to their place of employment or have to spend more time travelling to avoid the zone, which could have an impact on other elements of their lives.

The proposal includes grants to assist people replace their vehicles, but these may not appeal to the lowest-income households, as the grant would not cover the full cost of the replacement.

There are potential mitigation strategies that could minimise the impact of a CAZ on lowest-income households. These will need to be designed to provide greater travel choice, support changing travel behaviours and minimise the cost burden of making such changes. Working with communities to identify specific needs and opportunities to travel by alternative modes will be critical to not adversely impacting on already deprived areas. These measures could support trips for retail/leisure and employment within a CAZ area. However, trips that are passing through a CAZ, such as to employment areas on the other side of Bristol or elsewhere, are less likely to be satisfied by alternative modes.

Accessibility and availability of alternative modes, such as walking and cycling, could be enhanced by the introduction of a CAZ. Fewer car trips could result in an improved local environment and improve the attractiveness of walking and cycling. There are wider benefits that could be realised by this, such as improved health through increased physical activity, as well as realising the health impacts of better air quality. Public transport journey times could also be improved, further increasing its attractiveness and use. The Councils smarter choices initiatives could be expanded to target those effected by the scheme by providing information about public transport services and cycling routes, and the wider benefits that can be realised by using these modes. This will be critical in minimising the impact of a CAZ on lowest-income users.

The impact of trips rerouting onto other routes to avoid any charging zone or vehicle restriction would need to be monitored, to ensure there is no detrimental impact to air quality, safety and the attractiveness of walking, cycling and public transport in these areas.

3.10 Spatial analysis of the of the scheme options on businesses

An objective of the project is to minimise impacts on economic growth and development, helping to accelerate the transition to a low emission economy and creating a healthy place to live, visit and work. However, with any sort of charging scheme, there will be affordability impacts on businesses operating non-compliant LGVs and HGVs, who are either based in or operate within central Bristol. If not effectively mitigated these impacts may negatively impact on the viability of businesses, particularly SMEs, or could encourage relocation.

The impacts could be related to staff or the operation of the business. If a charge needs to be paid to travel into the area of the business, staff could choose to work elsewhere, or people may choose not to visit. However, fewer vehicles on the highway network could improve journey times and reliability for compliant business vehicles.

3.10.1 Noncompliant LGVs

An assessment has been undertaken on the number of trips made by noncompliant LGVs from LGV reliant areas into a CAZ (small and medium) in both peak periods. The findings are presented on the following maps.

Figure 3.13: LGV reliant areas: number of trips (ranked) made by non-compliant LGVs to the small CAZ area in the AM peak

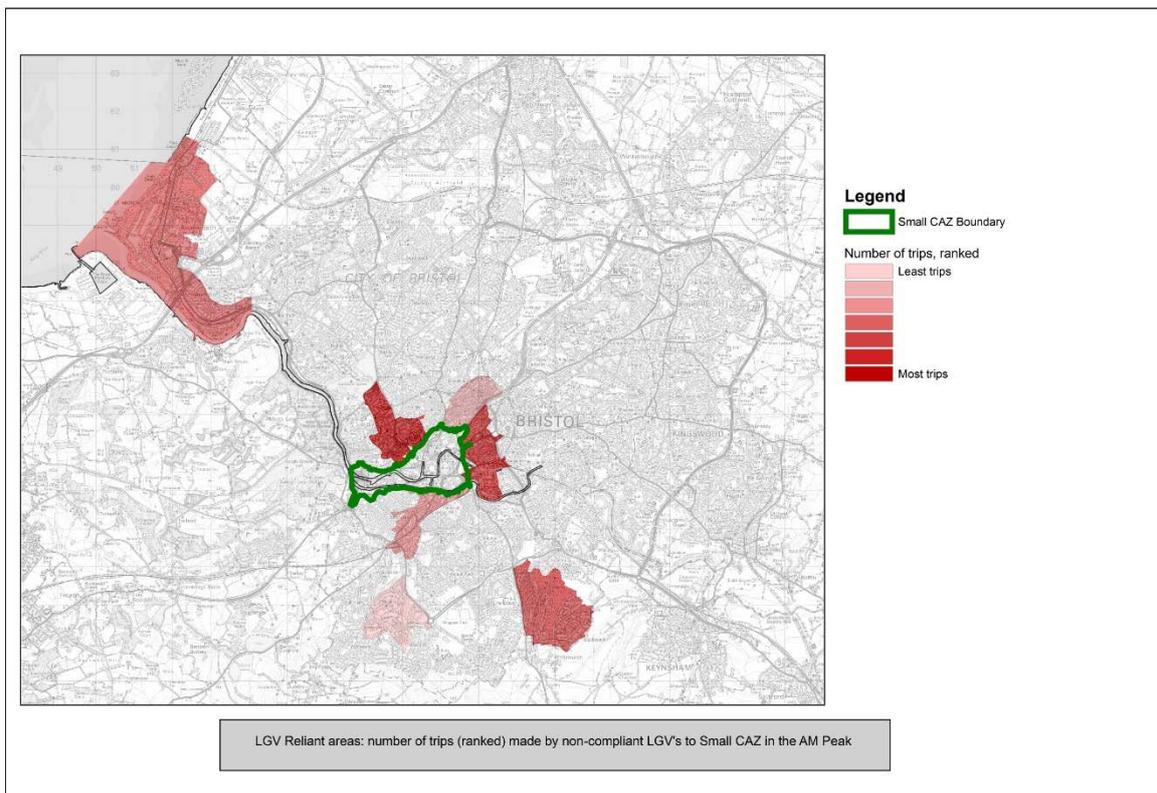


Figure 3.14: LGV reliant areas: number of trips (ranked) made by non-compliant LGVs to the Medium area CAZ area in the AM peak

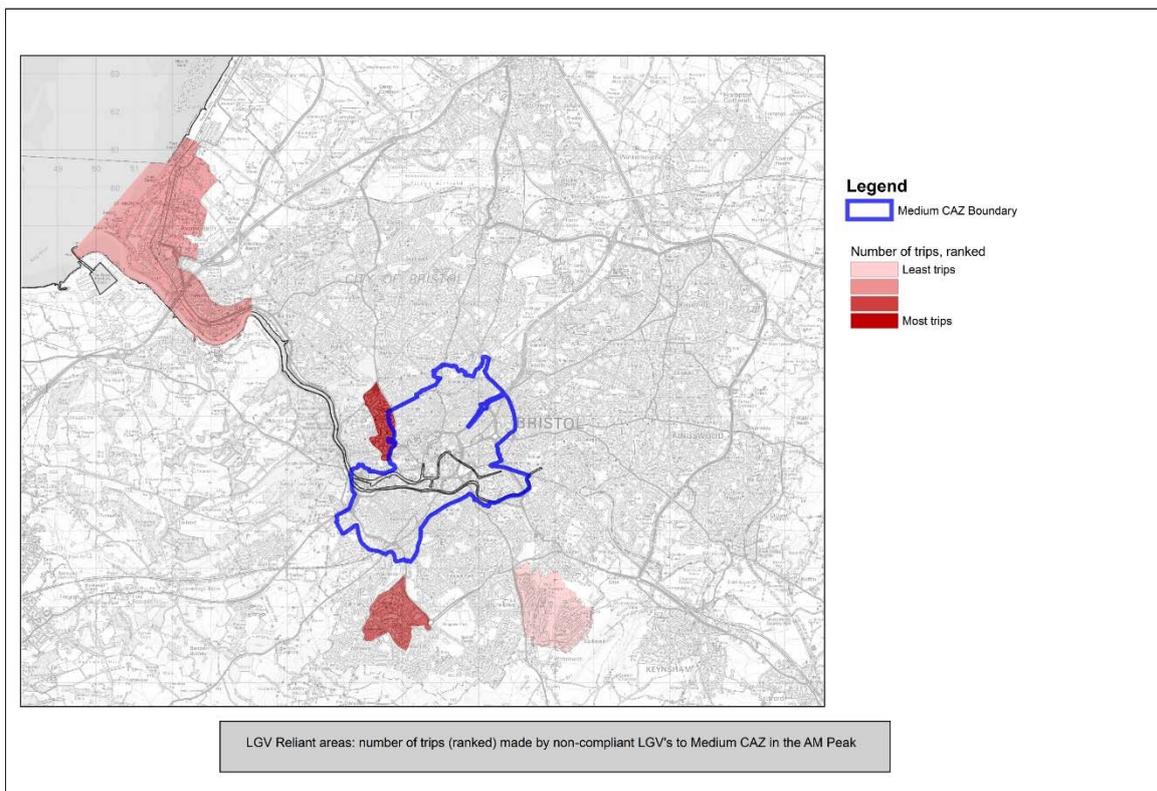


Figure 3.15: LGV reliant areas: number of trips (ranked) made by non-compliant LGVs to the small CAZ area in the PM peak

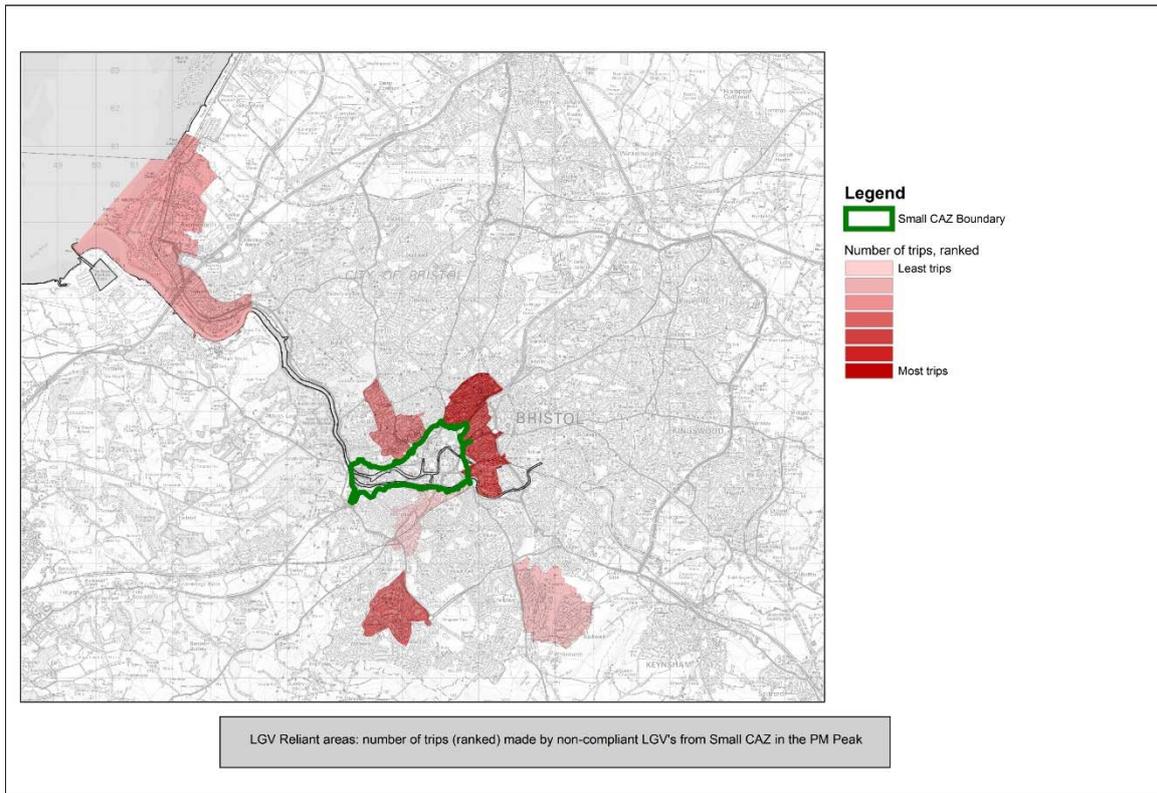
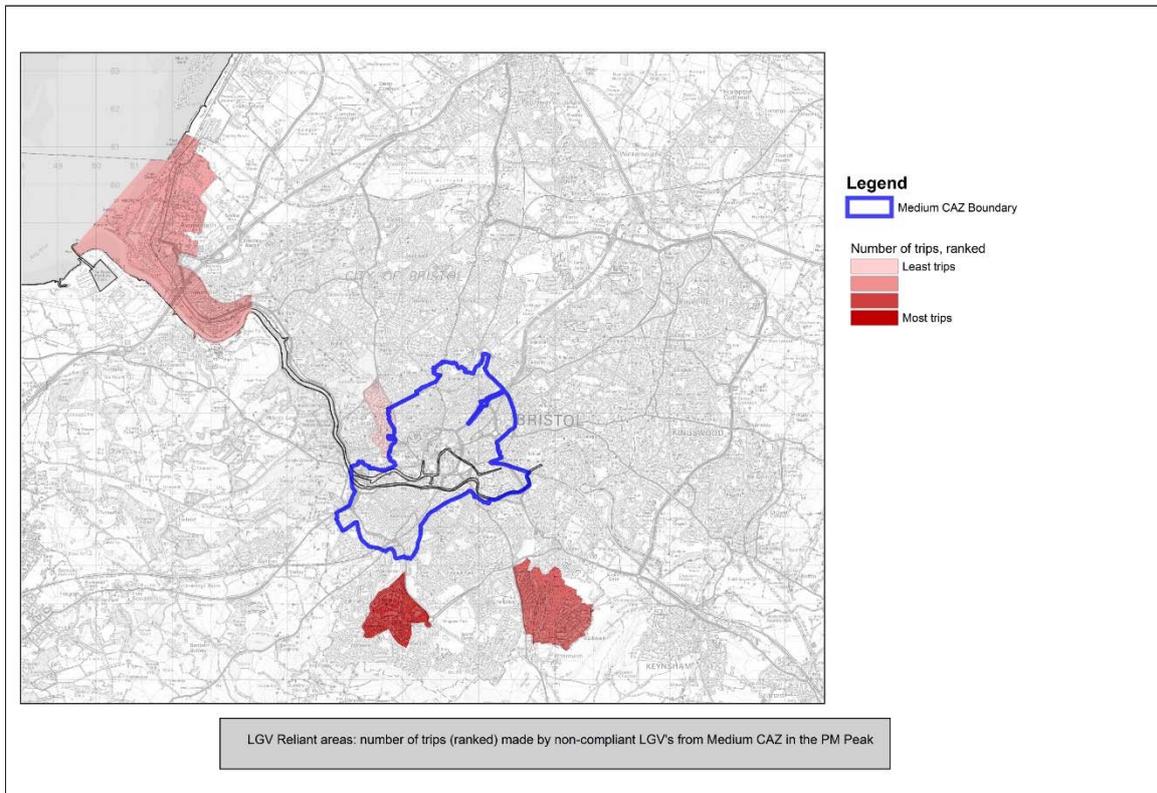


Figure 3.16: LGV reliant areas: number of trips (ranked) made by non-compliant LGVs to the Medium area CAZ area in the PM peak



The small CAZ area maps, for both the AM and PM peak, show that most noncompliant LGV trips originate in the areas bounded by the CAZ. These areas are included within the Medium area CAZ area. This suggests many noncompliant LGV trips are short in length and there is likely to be a direct impact on these businesses if either a small area car diesel ban or medium area CAZ D was implemented.

The area immediately north west of the CAZ boundary, Clifton, has a high number of ranked trips reflecting the retail and services offered in this area. The Avonmouth area is also a source of many noncompliant trips in both peak periods, reflecting where trading and industrial estates are located. It is likely that this reflects freight movement and distribution to destinations in Bristol City Centre.

3.10.2 Noncompliant HGVs

An assessment of noncompliant HGVs has been undertaken for retail business areas, for both the small area car diesel ban and medium area CAZ D in the AM and PM peak periods, as shown on the following maps.

Figure 3.17: HGV reliant areas: number of trips (ranked) made by non-compliant HGVs to the small CAZ area in the AM peak

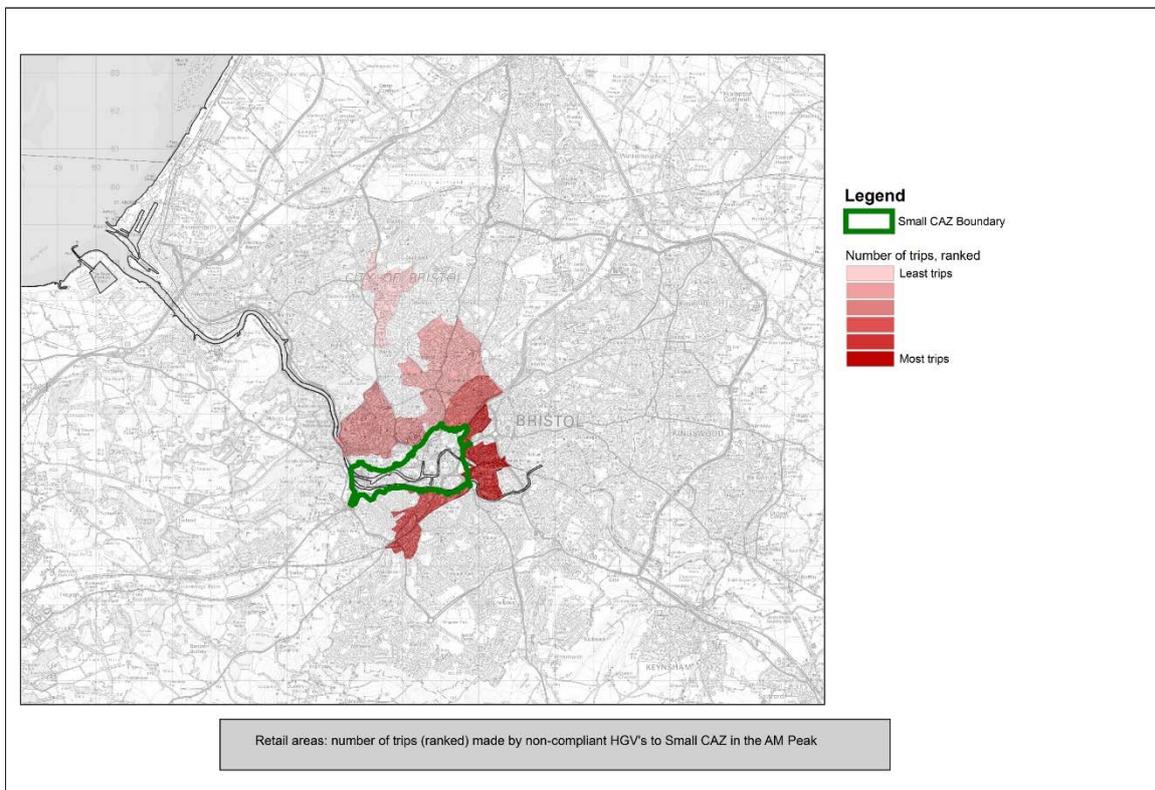


Figure 3.18: HGV reliant areas: number of trips (ranked) made by non-compliant HGVs to the Medium area CAZ area in the AM peak

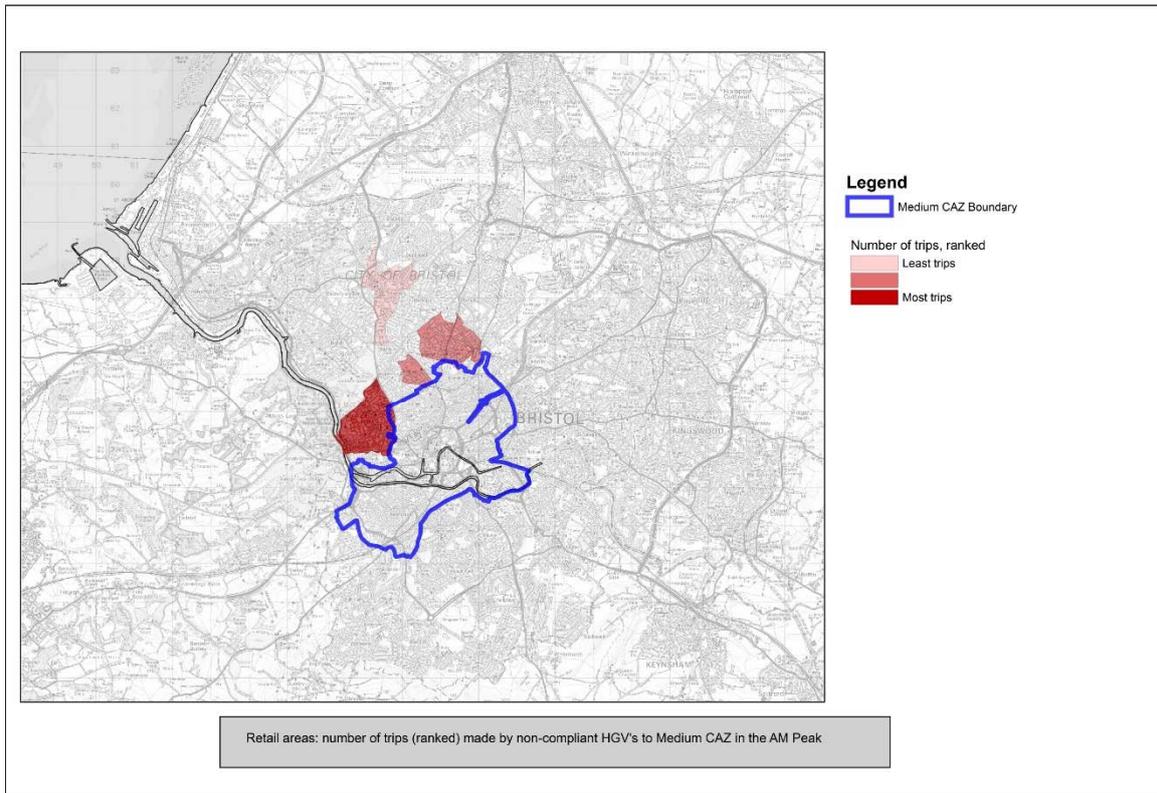


Figure 3.19: HGV reliant areas: number of trips (ranked) made by non-compliant HGVs to the small CAZ area in the PM peak

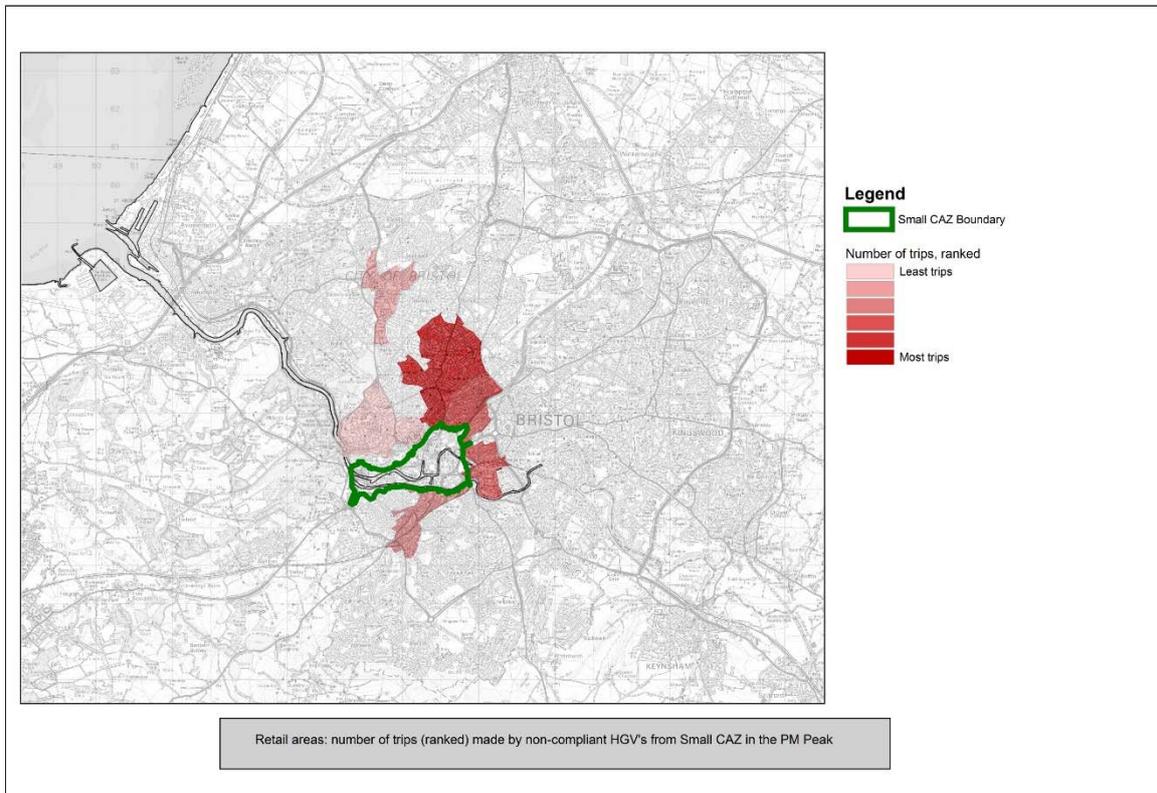
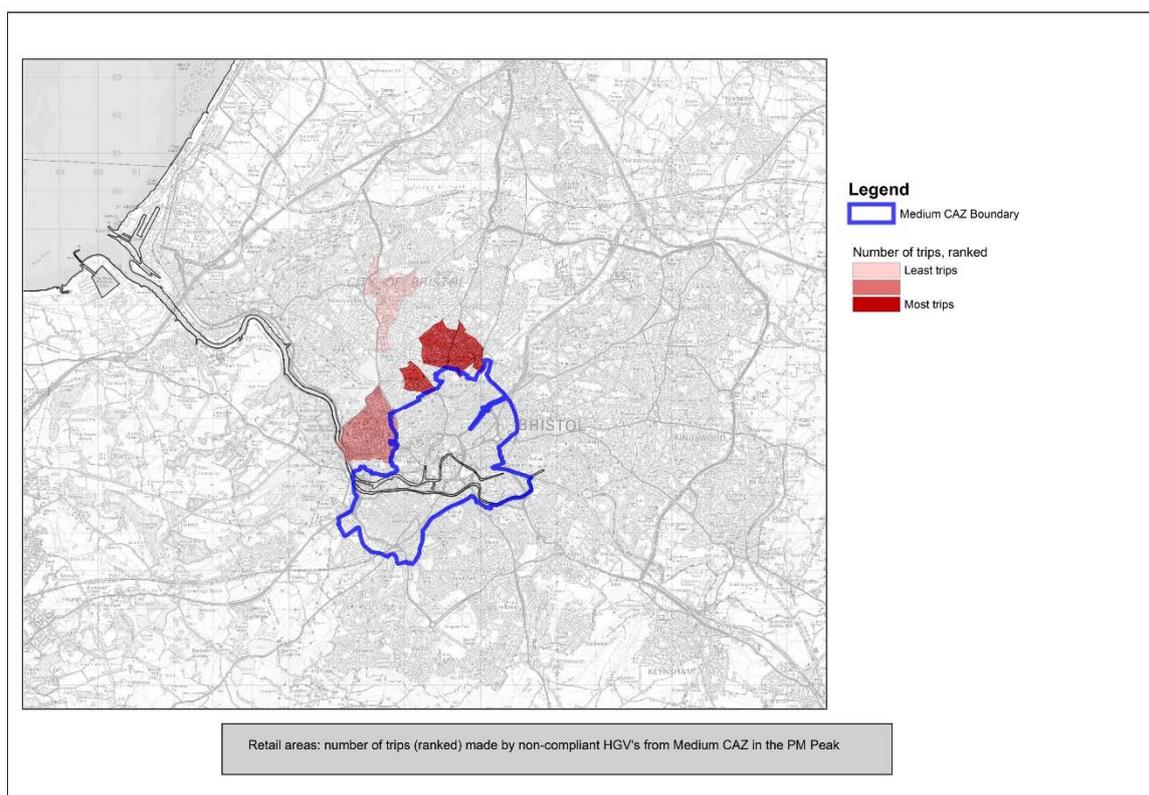


Figure 3.20: HGV reliant areas: number of trips (ranked) made by non-compliant HGVs to the Medium area CAZ area in the PM peak



The ranking of noncompliant HGV trips is the same in both peak periods. The noncompliant HGV trips originate from within the medium area CAZ area or bounding the area, except for the area to the north near Westbury on Trym/Henleaze.

The ranking shows that the uncompliant HGV trips originate much closer to the boundary of the CAZ than LGV trips. This suggests that either HGV trips within Bristol are very short, or they are travelling through the city centre to other destinations, without an origin or destination. It is these trips that need to be targeted if the CAZ objectives are to be achieved.

3.10.3 Summary if impacts to businesses

The behavioural response rate for medium area Class D suggests that noncompliant LGVs will continue to make journeys, with just over 60% replacing the vehicle and about 35% paying the charge or avoiding the zone. However, the HGV response suggests over 80% of vehicles would be replaced, with less than 10% paying the charge. This is likely to be due to the level of the proposed charge, with HGVs subject to £100/day and LGVs £9/day, which is the same as cards and taxis.

Funding will be sought to deliver mitigation measures that are designed to minimise the cost burden of making changes for businesses, as they are critical for economic growth and supporting the West of England region. Investigation is ongoing into freight consolidation centres, which could reduce the number of trips being made into the centre by consolidating freight onto less polluting vehicles on the outskirts of the city. Options are also being looked at for first and last mile trips, with smaller packages being transported by cargo bikes, for example.

Businesses rely on staff and customers being able to access their sites. It is likely that a CAZ will also impact on these trips. Support will continue to be given to businesses in enabling their staff to work flexibly, including working from home, and ensuring provision is available for those wanting to walk and cycle, such as showers and secure storage.

3.11 Sensitivity Analysis

To understand the sensitivity of the assessment to changes in model assumptions, a series of sensitivity tests will be undertaken on the preferred option (when confirmed), these tests will include:

- High / low growth assumptions
- Variations to fleet composition
- Variations to fleet projections
- Variations to response rates
- Differential Bias, associated with fleet used for verification
- Alternative assumptions for Euro 6 diesel emissions
- Variations to background concentrations

3.12 Preferred Option

The primary success factor of the scheme is to deliver compliance with NO₂ air quality Limit Values and Air Quality Objectives in the shortest possible timescales. The assessment work shows:

- Option 4 will achieve compliance at all location by 2027, with the exception of the north section of Upper Maudlin Street that would be compliant only by 2030.
- Option 2c will achieve compliance at all location by 2023, with the exception of the north section of Upper Maudlin Street that would be compliant only by 2024.

Hence the assessment work presented in this chapter shows that the diesel car exemption over a small area with bus and taxi fleet improvements would deliver compliance in the shortest possible time. However, there are legislative risks associated with this option, and it may not be possible to implement this scheme 24 hours a day/7 days a week. If this is the case, the scheme benefits would be reduced, and the Medium area CAZ D option with complementary measures may provide an earlier year of compliance.

The assessment concluded that in terms of economic impact, the intervention options could generate a NPV of between -£22m for the car diesel exclusion over a small area and -£210m for the Medium area CAZ D with complementary measures. The economic costs for both intervention options therefore outweigh the economic benefits by a considerable margin, particularly for the Medium area CAZ D option. This is primarily driven by the loss in consumer welfare associated with changing travel patterns and behaviours, as well as onerous set up and running costs.

Affordability impacts are adverse across the full range of relevant socio-economic and business groups for both options. Impacts are disproportionately felt by the most income deprived communities.



Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 04 June 2019

TITLE	Transport Capital Programme 2019/2020		
Ward(s)	Citywide		
Author: Adam Crowther	Job title: Service Manager Strategic City Transport		
Cabinet lead: Cllr Kye Dudd, Transport and Connectivity	Executive Director lead: Colin Molton, Director Growth and Regeneration		
Proposal origin: <i>BCC Staff</i>			
Decision maker: Cabinet Member			
Decision forum: <i>Cabinet</i>			
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 2019/20, and Bristol City Council Maintenance allocations as detailed in Appendix A as follows;			
Highways Capital Maintenance £3,132,000;			
Integrated Block £2,743,000;			
Incentive Funding £652,000;			
Pothole Funding £204,000.			
And to delegate authority to procure and appoint contractors in relation to the works under Appendix A (of any value, including over £500k.)			
Evidence Base:			
The Combined Authority receives funding from Government in respect of a range of highways and transport projects and allocates this across the 3 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, road safety, congestion, carbon, accessibility and congestion.			
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.			
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. Work is currently ongoing on the development of a Strategic Asset Management Plan which officers will develop in partnership with Cabinet Member for Transport and Connectivity before consulting with stakeholders before being formally adopted. 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.			
Appendix A provides commentary as to the allocation of both the West of England Combined Authority Grant and supplementary information in relation to both Chocolate Path and Redcliffe Bridge schemes. Funding for Chocolate			

Path, Redcliffe Bridge, Street lighting (SALIX) and maintenance, from reserves, have been included for completeness. The schemes detailed in Appendix A do not comprise the full Transport Capital Programme 19/20 as they exclude scheme-specific grant funded schemes. Examples of this include Housing Infrastructure projects e.g. Muller Road, Local Growth Fund, A4018, and public transport corridor improvements e.g. Wedmore Vale, Clear Air Zone, Department for Transport Challenge Fund A4/4174 and Scotland Lane schemes. Such schemes would be covered by separate Cabinet reports.

Provision has been made within the budget allocation, of both Integrated Block and Highways Capital Maintenance blocks, to delay commitment of these budgets until autumn 2019 in case these budgets are needed to meet budget pressure on the Revolving Infrastructure Fund (RIF) Programme. The affected projects/programmes are shown in Appendix A. The RIF Programme budget pressure is subject to separate Cabinet report dated 5th February 2019.

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.

Cabinet Member / Officer Recommendations:

1. To approve the West of England Combined Authority budget allocation for the Transport Capital Programme for 19/20 as follows;
 - a. Highways Capital Maintenance £3,132,000;
 - b. Integrated Block £2,743,000;
 - c. Incentive Funding £652,000;
 - d. Pothole Funding £204,000.

2. To delegate to the Executive Director Growth and Regeneration, in consultation with the Cabinet Member for Transport and Energy, authority (within the budgets identified above) to procure and appoint contractors to carry out all works identified in Appendix A, (including those which might otherwise comprise a key decision), making use of the existing term contract and/or approved frameworks, where appropriate.

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

Briefings being provided to Management and Economy of Place on the 24th January, followed by EDM on the 31st and Cabinet Member on the 28th January. A briefing is planned for the Transport Board on the 14th May 2019
 Include here reference to Transport Board?

Background Documents:

West of England Combined Authority Letter dated 22nd February 2019 reference HTCG02 19/20 – WECA Highways and Transport Capital Grant Allocations 2019/20

Revenue Cost	£0	Source of Revenue Funding	Not applicable
Capital Cost	£11,600,000	Source of Capital Funding	Highways Capital Maintenance £3,132,000; Integrated Block £2,743,000; Bristol City Council Capital Maintenance

			£1,000,000*; Incentive Funding £652,000; Pothole Funding £204,000; Street Lighting Salix funding £369,000*; Bristol City Council Capital Maintenance Chocolate Path £2,000,000*; Bristol City Council Capital Maintenance Redcliffe Bridge £1,500,000*. <i>*Decision to spend covered by previous decisions refer to Appendix A and see Finance Advice below.</i>
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:		
<ol style="list-style-type: none"> The transport capital programme for 2019/20 is estimated at £11.6m. The budget is to fund both transport capital maintenance works as well as other major transport related schemes i.e. LED lighting on our streets; Funding for these schemes is from various sources. WECA receives funding from Government for a range of highways and transport projects and allocates a proportion of this to BCC. In 2019/20 the council has received confirmation that £6.7m (WECA/DFT) will be available to BCC; Also, the Council has approved £8m to fund the Chocolate Path & Redcliffe Bridge capital works (Approval granted at 4th September Cabinet). It is included here for completeness; Also, the Council has SALIX funding available to invest in upgrading some of its street lighting infrastructure to LED lighting. It has received approval as part of the main capital programme to spend £369,000. It is included here for completeness; Likewise, the service will be drawing down £1m from Reserves. This is part of the main programme and is added here for completeness. Provisional figures on the WECA elements of this funding when to the full council, and since then WECA had confirmed an increase in funding of £231k compared to what was presented at Full Council. 		
Finance Business Partner:		
Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, date 06 June 2019		
2. Legal Advice:		
The proposed budget allocations raise no particular legal issues, (other than the need to ensure compliance with any conditions attached to grants), however it should be noted that the proposed delegation is to permit the Executive Director to procure contracts over the key decision threshold, (albeit within the budget envelopes) where applicable. All procurements will need to comply with the Public Contracts Regulations 2015 and/or the Councils own procurement rules, as appropriate.		
Legal Team Leader:		
Eric Andrews, Solicitor, date 22 nd January 2019		
3. Implications on IT:		
There are no identifiable IT implications arising from this paper.		
IT Team Leader:		
Ian Gale, Head of IT date 14th January 2019		
4. HR Advice		
No HR implications evident		
HR Partner:		
Celia Williams, HR Business Partner – Growth and Regeneration, date 22 nd January 2019		
EDM Sign-off	Colin Molton, Executive Director Growth and Regeneration	30 th January 2019

Cabinet Member sign-off	Cllr Kye Dudd, Member for Transport and Energy	4 th Feb 2019
For Key Decisions - Mayor's Office sign-off		

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 – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

Denise Murray
Director of Finance (S151 Officer)
Bristol City Council
City Hall
College Green
BRISTOL
BS1 5TR

Malcolm Coe
Director of Investment & Corporate Services

Our reference: HTCG02 19/20
Your reference:

22 February 2019

Dear Denise

WEST OF ENGLAND COMBINED AUTHORITY HIGHWAYS AND TRANSPORT CAPITAL GRANT ALLOCATIONS 2019/20.

This letter is issued by the West of England Combined Authority under the powers granted to it in the West of England Combined Authority Order part 3, clause 7 and following the decision of the Combined Authority taken on 15 February 2019 and can be referred to as the West of England Combined Authority Highways and Transport Capital Grant Allocation 2019/20 (HTCG02 19/20).

If you have any queries regarding the grant allocation, please contact Mark Angus on 0117 456 6971.

The total grant allocation to your authority is made up of the following elements and amounts:

Highways Maintenance	£3,132,000
Highways Incentive	£652,000
Integrated Transport	£2,743,000
Total grant allocation	£6,527,000

Conditions of grant.

1. The grant allocation is made to you for use towards capital expenditure incurred or to be incurred in relation to the exercise of your highway functions.
2. Payments will be made to your authority quarterly in advance, to the following schedule and profile:

Financial Quarter	Timing	Amount	Cumulative Amount
April – June	10 April 2019	£1,631,750	£1,631,750
July – September	26 June 2019	£1,631,750	£3,263,500
October – December	25 September 2019	£1,631,750	£4,895,250
January – March	18 December 2019	£1,631,750	£6,527,000

3. By no later than 31 July 2020 the Chief Executive and Chief Internal Auditor of the authority are required to sign and return to me a declaration in the following terms:

“To the best of our knowledge and belief, and having carried out appropriate investigations and checks, in our opinion, in all significant respects, the conditions attached to the West of England Combined Authority Highways and Transport Capital Grant allocation have been complied with. The total capital incurred in 2019/20 was £X”.

4. This declaration should be accompanied by a schedule giving details as to how the grant has been applied, listing by name and location specific large-scale new provision, maintenance and repair schemes and the value of grant applied, and/or generic headings of relevant expenditure types and the value of grant applied to each.
5. The West of England Combined Authority reserves the right to reclaim any grant remaining that has not been incurred or committed in the 2019/20 financial year. Any such repayments should be made within 28 days of the request.

Yours sincerely

A handwritten signature in black ink that reads "pp Malcolm Coe".

Malcolm Coe
Director of Investment & Corporate Services

Appendix A Additional further information
Proposed Transport Capital Budget 2019/20

Funding Source	Amount (£k)	
WECA Highways Capital Maintenance Block	3,132	
WECA Integrated Transport Block	2,743	
Reserves Capital Maintenance	1,000	Reserves
DfT Incentive Fund	652	
DfT Pothole Fund	204	
Chocolate Path	2,000	Cabinet report 4th September 2018 refers
Street Lighting Salix funding	381	
Redcliffe Bridge	1,500	Cabinet report 4th September 2018 refers
Total	11,612	

Maintenance and Structures

Maintenance	Allocation (£k)	Description of project/programme
Challenge Fund Local Allocation	280	Required local funding for A4174 Challenge Fund. The remaining funding is being used to delivery the final element of surfacing in conjunction with the LGF cycle project.
Preventative carriageway surfacing	600	Preventative maintenance on classified roads to sustainably protect them from environmental damage over their design life in line with Government approach Preventative maintenance is a more efficient way or working and offers environmental benefits when compared to replacement works.
Preventative Footway surfacing	500	Preventative maintenance on bituminous footways to sustainably protect them from environmental damage over their design life in line with Government approach Preventative maintenance is a more efficient way or working and offers environmental benefits when compared to replacement works. £150k to be held back until Autumn 2019 in case needed to meet budget pressures in Revolving Infrastructure Fund programme
Structural carriageway repairs and surfacing	1,065	Replace failed road construction caused by traffic loading or in areas where preventative techniques cannot be used, ie. busy junctions and roundabouts. Reconstruction is expensive, and is therefore only used where preventative maintenance would not be suitable. It
Structural footway repairs	225	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. £100k to be held back until Autumn 2019 in case needed to meet budget pressures in the Revolving Infrastructure Fund Programme.
Structures repairs and inspection of structural assets	851	Structural repairs to a number of structure assets to ensure the authority meets its statutory duty. The work comprises of concrete repairs to bridges, parapet repair, replacement of waterproofing on bridge decks and maintaining operational elements of the asset. £40k to be held back until Autumn 2019 in case needed to meet budget pressures in the Revolving Infrastructure Fund Programme.
Small works orders (footways)	130	Essential footway repair works to enable the Council to meet its statutory duties under s41 of the Highways Act. Works are identified through statutory inspections and reports from the public. These defects can be batched together to form a small works order, an essential process to enable Transport Service to meet revenue savings
Small works orders (carriageway)	337	Essential road repair works to enable the Council to meet its statutory duties under s41 of the Highways Act. Works are identified through statutory inspections and reports from the public. These defects can be batched together to form a small works order, an essential process to enable Transport Service Highways to meet revenue savings. £50k to be held back until Autumn 2019 in case needed to meet Revolving Infrastructure Fund Programme budget pressures
Drainage repairs	150	Carry out repairs to gullies identified as priorities, those within flood sensitive areas, following investigations.
Street lighting column replacement	550	Replace existing lanterns with modern LEDs. LEDs last longer than the previous generation of lanterns and cost considerably less to run, resulting in significant long term savings, as well as increased reliability. £50k to be held back until Autumn 2019 in case needed to meet Revolving Infrastructure Fund Programme budget pressure.
Portway Flood prevention scheme	150	Repair and increase the capacity of the highway drainage at the location of Sylvan Way junction due to frequent highway flooding.

Estate roads (concrete roads)	150	Repair to concrete estate roads which are failing through movement or cracking of the structural slab. £50k to be held back until Autumn 2019 in case needed to meet Revolving Infrastructure Fund Programme budget pressure.
Chocolate Path	2,000	Following funding from 2018/19 to investigate and establish repair options the works will start on site to stabilise the failed section of wall as per the previous cabinet report.
Street Lighting Salix Lamp Replacement	381	Successful loan from salix fund to change old energy inefficient Sox and Son lamps and lanterns to LED.
Redcliffe Bridge	1,500	Following funding from 2018/19 to investigate and establish repair options the works will start on site to repair the mechanical operation elements to the bridge as per the previous cabinet report.
Total	8,869	

Integrated Block Allocations

Integrated Block Allocations	Allocation (£k)	Description of project/programme
Casualty Reduction	155	Carry forward of funding for road safety scheme on Redland Road/Zetland Road junction and development of schemes for future years
20mph	62	To implement the results of the 20mph review which includes TROs, additional lining and signing and updating the VAS rollout on a programme of roads.
Safer Routes to School	130	£25k to be held back until Autumn 2019 in case needed to meet Revolving Infrastructure Fund Programme budget pressure.
Avon Crescent Re-routing	69	Traffic management measures - link to AVTM metrobus planning conditions
Narrow Estate Roads	203	Carry forward funding for neighbourhood partnership schemes. Multiple local/road safety improvements
Local Rail Station Improvements	30	Match-funding for improvements to local rail stations focusing on interchange and legibility, to draw in rail industry funding to enhance and better connect stations.
Drainage Surveys	40	A programme of flood mitigation schemes to reduce the risk of flooding to property, people and places.
Environmental Enhancements	30	Provision of green infrastructure or sustainable drainage, where other projects would otherwise be unable to afford them.
Cycling Bug Bears	30	A budget to resolve short term issues related to cycling and walking, specifically related to initial works identified under LCWIP and CAF
Match Funding for Redcliffe	6	Match funding (part of design costs) for the Redcliffe Way Corridor Project that seeks to reconfigure the Redcliffe Way corridor to improve the function of this part of the highway and facilitate regeneration.
Capital Programme Monitoring	100	Capital recharge for management of Transport Capital Programme
Traveline	40	Processing systems for bus information services (WECA function)
Bus Improvements Anchor Road/Wells Rd	468	Bus priority schemes including bus lanes and bus stop enhancements on A37 and A4
A4174 Challenge Fund Cycle Elements contingency	312	Constructing a walking and cycling route between Creswicke Road and Wells Road. Project includes; new bus stops, improved crossing facilities and re-surfacing of the carriageway
Residents Parking Schemes post implementation works	50	Surveys and minor amendments
Local Traffic Schemes	30	Preparation of schemes for Area Committees
Right of Way Improvements	49	Improvements to rights of way to make them easier to use and more accessible e.g. links to schools
Promotion of rights of way associated legal orders	7	Statutory process to promote rights of way
MetroWest Phase 1 and 2	85	continued development of the MetroWest programme including direct contributions to MetroWest Phase 2 development, as agreed in a joint promotion agreement, and design costs associated with Ashley Down station
Signals asset refurbishment	664	£125k to be held back until Autumn 2019 in case needed to meet Revolving Infrastructure Fund Programme budget pressure.
Revolving Infrastructure Fund (RIF TQEZ)	183	
Total	2,743	

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	(Include dates as appropriate)	Resp. Officer			Escalated to: DRR/CRR	Escalated by:	Date	Date risk identified	Directorate Flag	Date Risk Closed	Closed by:	Amends / Updates Completed Date:	By:		
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 Economy of Place	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 maintenance 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														
8																																
9																																
10																																
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16																																
17																																
18		No evidence found to date: lack of documentation on duties and that these are being fulfilled. (Verbal confirmation that regular inspections are being undertaken by competent personnel).	Potential closure of railway if ORR found current procedures lacking. H&S incident occurs.	Open																												

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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 allocations 2019/20
Please outline the proposal.	<p>Cabinet report decision to allocate Department for Transport/West of England Combined Authority and Bristol City Council budgets towards range of different Transport Projects and Programmes across the City in 19/20.</p> <p>The budget setting does not include any savings targets associated with projects. The full allocation of grant funding is being allocated in the Transport Capital Programme.</p> <p>The Transport Capital Programme is not financially rigid and scheme/project budgets are continually under review. The result is that budgets for project/scheme may change because of e.g. design changes, unforeseen ground conditions, statutory undertakes service diversions, or programme delays.</p>
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)
<p>Please outline where there may be significant opportunities or positive impacts, and for whom.</p> <p>The projects 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 all citizens including those with protected characteristics.</p> <p>At this time many of the proposed works are at an early development stage and it is not possible to fully assess the extent of all positive impacts for people with protected</p>

characteristics.

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

We have not identified and do not anticipate any significant negative impacts for people with protected characteristics arising from this proposal. The budget allocations for the Transport Capital Programme 19/20 have been prepared by Managers and Officers who have considered the council's public sector equality duty as defined in the Equality Act 2010.

Officers have balanced these duties, in reaching their conclusions regarding setting budgets, with other legal and statutory duties e.g. Traffic, Health and Safety legislation etc. and Council objectives e.g. Corporate Strategy. Officers have also used evidence and knowledge regarding a range of criteria in reaching decisions on proposed budget allocations, this includes but is not limited to:

- Citywide and Ward level data sources e.g.
 - [Open Data Bristol](#)¹
 - [Bristol Joint Strategic Needs Assessment \(JSNA\)](#)².
 - [2011 Census](#)
 - [Quality of Life survey](#)
 - [Bristol Ward Data Profiles](#).
- [Neighbourhood Partnerships](#)
- Local Councillor and member of the public requests
- Maintenance records and inspections.

The programme includes over 15 maintenance and structures projects and over 20 Integrated Block allocations (new schemes/interventions). Separate equalities relevance checks and, where relevant, full equality impact assessments (EQIAs) are carried out for these on a case by case basis.

Where projects are underway, relevance checks and/or EqIAs have already been completed e.g. for Chocolate Path Stabilisation Works and Redcliffe Bridge Refurbishment Works.

As new schemes are developed further analysis and where appropriate consultation will take place which will include seeking the views of citizens with protected characteristics.

As individual budgets, within the wider Transport Capital Programme, are often re-profiled to reflect the new scenario facing the individual project/scheme, there is scope to accommodate mitigations should an EQIA identify the need to address specific

¹ <https://bristol.opendatasoft.com/pages/home/>

² https://www.bristol.gov.uk/en_US/policies-plans-strategies/joint-strategic-needs-assessment

project/scheme concerns, where it has been identified that people with Protected Characteristics may be unfairly disadvantaged by proposed project/scheme development.

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

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:

- 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 – We are not aware of any significant negative impacts for people with protected characteristics in the allocation of the Transport Capital Programme Budget. Individual Equality Relevance Checks and, where required, Equality Impact Assessments are carried out by scheme project managers for specific projects and proposals on a case by case basis.

Service Director sign-off and date:
Nuala Gallagher
Director, City Growth, Investment & Infrastructure
January 2019

Equalities Officer sign-off and date:



Duncan Fleming 28/1/2019

Eco Impact Checklist

Title of report: Transport Capital Budget Allocation 2019/20				
Report author: John Roy				
Anticipated date of key decision: 4 th June 2019				
<p>Summary of proposals: To seek approval for the budget allocation of the Transport Capital Programme for 2019/20 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;</p> <ul style="list-style-type: none"> • Highways Capital Maintenance; • Integrated Block; • Incentive Funding • Pothole Funding c/f 17/18; • Winter Pothole Funding 18/19. <p>As well as Bristol City Council own funding allocations as follows;</p> <ul style="list-style-type: none"> • Highways Capital Maintenance general allocation; • Highways Capital Maintenance allocation for Redcliffe Bridge and Chocolate Path projects 				
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. Match funding for EV taxi charge points will encourage the use electric vehicles within the city.	
		-ive	Construction and	Use sustainable procurement practices for

			the possibility of accidental releases of fuels and chemicals to land or water Construction works have associated traffic congestion which negatively effects air	Effective traffic management can reduce congestion.
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:	Nicola Hares
Dept.:	Environmental Project Manager
Extension:	
Date:	17/01/2019
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 18 June 2019

TITLE	Strategic Assets Management Plan (SAMP) – City Transport	
Ward(s)	City wide	
Author:	Razvan Constantinescu	Job title: Strategic Assets and Contracts Manager
Cabinet lead:	ClIr Kye Dudd	Executive Director lead: Colin Molton
Proposal origin: Razvan Constantinescu – Assets and Contracts Manager		
Decision maker: Cabinet Member		
Decision forum: Cabinet		
Timescales: 18 June 2019 Cabinet meeting		
Purpose of Report:		
<ol style="list-style-type: none"> 1. To approve and adopt Bristol City Council’s Strategic Assets Management Plan. 2. The Strategic Assets Management Plan is a plan of action designed to give the Council a clear understanding of the condition of its assets including highways network, pathways, parks and docks facilities, bridges, etc. 3. The Strategic Assets Management Plan is made up of several sub-strategies addressing components of our assets network e.g. traffic lights network, street lighting, bus-shelters, parking meters, street linings, etc. 4. To request regular six-months update from lead officer. 		
Evidence Base:		
<ol style="list-style-type: none"> 1. The clear understanding of the scope and condition of our assets network will inform the assets lifecycle modelling decisions; the process through which, informed decisions are taken regarding the maintenance, replacement and/or building of new assets, including significant budgetary decisions and future commitments. 2. Finally, the Strategic Assets Management Plan is an intrinsic element of the self-assessment criteria, upon which the Department for Transport grant allocation is made. The criteria (including Strategic Assets Management Plan’s and Lifecycle Modelling and Communications Strategy) determines on which of the three bands an authority is placed; Band 4 being the highest. Currently Bristol City Council is placed on Band 3 but only in virtue of our West of England Partnership membership. Having an approved Strategic Assets Management Plan is a precondition of us maintaining ourselves on this band in turn triggering a higher grant allocation. 		
Cabinet Member / Officer Recommendations:		
That Cabinet:		
<ol style="list-style-type: none"> 1. Approve and adopt Bristol City Council’s Strategic Assets Management Plan 2. Note that there will be an annual review of the SAMP implementation process 		
Corporate Strategy alignment: The Strategic Assets Management Plan contributes towards all Bristol City Council’s Corporate Strategy Themes:		
Empowering and Caring - developing communities		
Fair and Inclusive - contributing to the construction of 2,000 new homes		
Well Connected - improve the physical and geographical connectivity		
Wellbeing - cleaner air, cleaner streets and access to parks and green spaces.		
City Benefits:		

The assets network is our city's connecting network of arteries, connecting living spaces to communities and in turn, the city itself with the rest of the national and international networks. Having a thorough Strategic Assets Management Plan, regularly updated and informed by technological advances, market factors and depreciation rates, also shaped by the city's communities' priorities is essential to a modern, economically thriving city. The Strategic Assets Management Plan will give us the necessary tools to maintaining this network and adapting it and improving it for the use of future generations.

Consultation Details: The Strategic Assets Management Plan is the product of conversations with stakeholders including lead officers in Street Lighting, Highways Maintenance, Bridge structures, Parks and Docks. If approved at DMT, the SAMP will enter the external consultation phase, based on the Communication Strategy (Appendix 2).

Background Documents: Not applicable

Revenue Cost	£30k	Source of Revenue Funding	Strategic City Transport Service Budget
Capital Cost	£	Source of Capital Funding	<i>e.g. grant/ prudential borrowing etc.</i>
One off cost <input type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input checked="" type="checkbox"/>

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

1. Finance Advice: The Strategic Assets Management Plan is a plan of action designed to give the Council a clear understanding of the condition of its assets including highways network, pathways, parks and docks facilities, bridges, etc. The total cost of getting this work done is c£30k and was covered within service budgets. The SAMP identifies various work streams required to develop the sub-strategies. This will form the subject of future reports and will be funded within the respective service area budgets as and when required.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth & Regeneration, 01 May 2019.

2. Legal Advice: There are no particular legal implications arising from this report.

Legal Team Leader: Sinead Willis, Commercial and Governance Team Leader, 2 May 2019

3. Implications on IT: This proposal concentrates very much on the physical transport assets. However, there is reference to the system/database used to manage these assets, as stated in the Strategic Asset Management Plan and roadmap. This correctly refers to the requirement to work with IT Services to determine the appropriate solution; this will need to be a part of the implementation of this strategy.

IT Team Leader: Ian Gale 28 April 2019

4. HR Advice: No HR implications evident

HR Partner: Celia Williams, HR Business Partner 25 April 2019

EDM Sign-off	Colin Molton	6 March 2019
Cabinet Member sign-off	Cllr Kye Dudd	18 March 2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	3 May 2019

Appendix A – Further essential background / detail on the proposal Strategic Assets Management Plan.	YES
Appendix B – Assets Management Policy	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 – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO



Transport Strategic Asset Management Plan

Bristol City Council

Draft for Consultation

Version 2.0

25 January 2019

Draft for internal consultation



Draft for internal consumption

Strategic Asset Management Plan

Project No: 673846CH.DU.97.01
 Document Title: Strategic Asset Management Plan
 Document No.:
 Revision: Draft for Council Internal Consultation
 Date: 30 January 2019
 Client Name: Bristol City Council
 Client No:
 Project Manager: Paul Bufton
 Authors: Zac Alexander and Paul Conroy
 File Name: Bristol City Council Strategic Asset Management Plan 1.1 Draft for Consultation.docx

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Document history and status

Revision	Date	Description	By	Review	Approved
V1.0	25/1/19	Draft for consultation	ZA	AL	PJC
V1.1	30/1/19	Revised draft for consultation incorporating results of bridges and structures interview.	ZA	AL	PJC

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Draft for internal consultation

Executive Summary

Bristol City Council is responsible for managing Bristol's highways and local transport infrastructure with the over-arching aim of keeping Bristol well-connected. It manages roads, footways, and cycleways and the infrastructure that makes them safe and useable, such as lighting, signage, lines, safety fences and drainage. It also manages bus stops and parking infrastructure. It manages Bristol's road bridges and footbridges, and highway structures such as some retaining walls.

This document is the first version of Bristol City Council's Strategic Asset Management Plan (SAMP). The purpose of the SAMP is to clarify asset management strategy and objectives in alignment with the Council's Transport Strategy and thereby ensure that the whole organisation is focused on achieving its organisational outcomes by translating them into specific asset management plans.

This is the Council's first SAMP and reflects the Council's commitment to improving asset management practices by alignment to ISO 55000 (Asset Management – Overview, Principles, Terminology) and implementation of a process of continuous improvement.

Bristol City Council has defined the following overarching asset management commitments to support its corporate strategy:

- **Organisation:** Maintain clearly defined roles for asset management and associated responsibilities, both for developing and stewarding the asset management system itself, and for managing assets in accordance with the asset management system.
- **Decision-making:** Ensure that the tools within the asset management information system (such as the asset database) are consistent and compatible with each other.
- **Data:** Ensure the right asset attributes and asset data are present in the asset database/s to support lifecycle asset management, including prioritising investment to maximise value at lowest whole-life cost.

These overarching commitments are supported by a series of objectives specific to the transport asset types which the Council is responsible for.

Bristol City Council recognises that this is their first SAMP and that it must deliver a roadmap of improvement activities and initiatives to achieve good practice asset management. This document acknowledges current performance, defines asset management objectives and defines the roadmap of asset management initiatives. It will be reviewed and updated as required, at least once per year. It is a statement of the Council's commitment to asset management and is to be used to identify needs and opportunities and support a process of continuous improvement.

Important note about your document

This document has been prepared for the sole purpose of consultation within Bristol City Council on the basis of information received from the Council. It is a draft for discussion and to elicit feedback.

This document has been prepared exclusively for Bristol City Council and no liability is accepted for any use or reliance on it by third parties.

Draft for internal consultation

1. Acknowledgements

We gratefully acknowledge the support given by the Bristol City Council consultees in this project, who have been very co-operative; information and insights have been provided with enthusiasm and interest.

Draft for internal consultation

2. Version Control

This Strategic Asset Management Plan shall be reviewed and updated no less frequently than once per year, or when one or more of the Council's Corporate Strategy, Transport Strategy, or Transport Asset Management Policy is updated.

The Transport Asset Strategy Manager is responsible for ensuring that the Strategic Asset Management Plan is updated.

The next update is due no later than February 2020.

Draft for internal consultation

3. Introduction

3.1 Purpose and benefits

This Strategic Asset Management Plan (SAMP) sets out how Bristol City Council will manage its transport assets to deliver its strategic transport outcomes.

This is the Council's first SAMP and reflects the fact that it is embarking on its asset management journey and that its asset management practice is in a period of transition. The Council acknowledges its current asset management performance and opportunities and developing this SAMP is part of an iterative process aimed at identifying and realising opportunity; better understanding the potential benefits of implementing whole-lifecycle asset management and achieving commonality of purpose and a line of sight through the organisation.

The Council commits to the principles of good asset management, as defined in ISO 55000, and embedding a process of continuous improvement into the organisation that will support a systematic, integrated, and holistic approach to achieving asset management good practice.

For example, until recently the Council placed reliance upon having skilled and well-informed local managers who were familiar with their 'patch' of the city, and who managed it in accordance with their local practice. In response to budgetary pressures and the need for city-wide efficiencies and consistency, the Council moved away from this approach, and is building new technological approaches for managing its assets that will capture asset data and knowledge and thereby support a better understanding of the state of assets; what is spent on them and how best to invest to generate maximum value.

This phase of the Council's asset management journey began in 2014, with the introduction of the CONFIRM database as a single platform for the Highway Maintenance department to manage its assets. The Council continues to improve its corporate asset knowledge by populating the database, placing the data for entire asset classes onto the platform. Over recent years the Council has implemented rigorous project management to lay the foundation for active control of capital expenditure. It is building on its success in project controls with the capital investment Quality Assurance (QA) Process, which will ensure that all capital expenditure is demonstrably aligned with its outcomes. The QA Process will also enable the Council to identify opportunities for cross-department efficiencies in new projects.

In summary, with the publication of this SAMP the Council is committing to a journey that will improve its asset management in line with ISO 55000, for example by increasing its use of programming of maintenance activity to reduce the impact of disruption on the city, where it is prudent to do so. It is also committing to a number of actions to increase its asset knowledge, share information between departments, report on performance, and optimise expenditure. Through these and subsequent actions the Council will deliver its transport strategy for Bristol.

3.2 Asset management elements remaining to be addressed

This SAMP is a step on the Council's journey to good asset management practice. To achieve alignment with ISO 55000 expectations, at a minimum the following elements will need to be included in future iterations of the SAMP:

- 1) A shared approach to asset management across the entire Council, not just within Transport.
- 2) External stakeholder analysis. This will enable engagement with external stakeholders to understand their requirements, expectations and willingness to pay for transport services.
- 3) The Council's approach to risk.
- 4) An assessment of current and future transport demand, how this will affect demand on the Council's assets and how the assets should be efficiently managed to meet forecast demand.
- 5) The current health of the Council's transport asset base.
- 6) Performance indicators, targets, and forecasts.

7) Historic, current, and forecast budgets.

3.3 Stakeholders

3.3.1 Internal stakeholders

Jacobs embarked on a process of consultation during Winter 2018-19 which provided an opportunity for Council stakeholders to engage on the Council's asset management practices and objectives; current, planned and aspirational changes to practice and opportunities for improving working practices across departments.

The first round of consultation comprised a series of interviews with asset managers and planners within the Council. The draft Strategic Asset Management Plan was written based on the outcomes from this consultation. The draft Strategic Asset Management Plan was consulted on more widely within the council, and the feedback from this consultation was used to write the final Strategic Asset Management Plan (this document) for publication.

Table 1 Stakeholders consulted during the development of this Strategic Asset Management Plan

Stakeholder	Role
Adam Crowther	Strategic City Transport Service Manager
Chris Dooley	Bridge and Highway Structures Manager
David Prosser	Engineering Design Manager
Ed Plowden	Head of Local and Sustainable Transport
Ian Johnson	Harbour Engineer
James Dowling	Local and Sustainable Transport (Traffic Restriction Orders)
John Roy	Group Manager (Transport Programme Team)
Mark Sperduty	Area Manager – Local and Sustainable Transport
Marvin Rees	City Mayor; Cabinet member for transport
Matt Barrett	Local and Sustainable Transport (Cycling Centre)
Nick Pates	Highways Maintenance Team Manager (reactive maintenance)
Patrick Goodey	Flood Risk Manager
Philip Belmont	Highway Officer
Philip Davies	Highway Maintenance Team Manager (planned maintenance)
Shaun Taylor	Group Manager – Highway Maintenance
Steve Bird	Local and Sustainable Transport (Bus shelters and iPoint contracts)

3.4 Asset management roadmap

The actions in this SAMP have been compiled into the Asset Management Roadmap in Section 9 of this document. Actions are cross-referenced to the roadmap using superscripted numbers, such as this: ¹.

4. Scope

This Strategic Asset Management Plan applies to all Bristol City Council (BCC) transport assets including those operated by third parties. It therefore has broad relevance and it shall be observed by all BCC employees, agents and contractors.

Specifically, this Strategic Asset Management Plan shall be used by **maintenance planners** to develop specific asset management plans. This will help ensure line-of-sight from the Corporate Strategy through to the work that is carried out on Council assets.

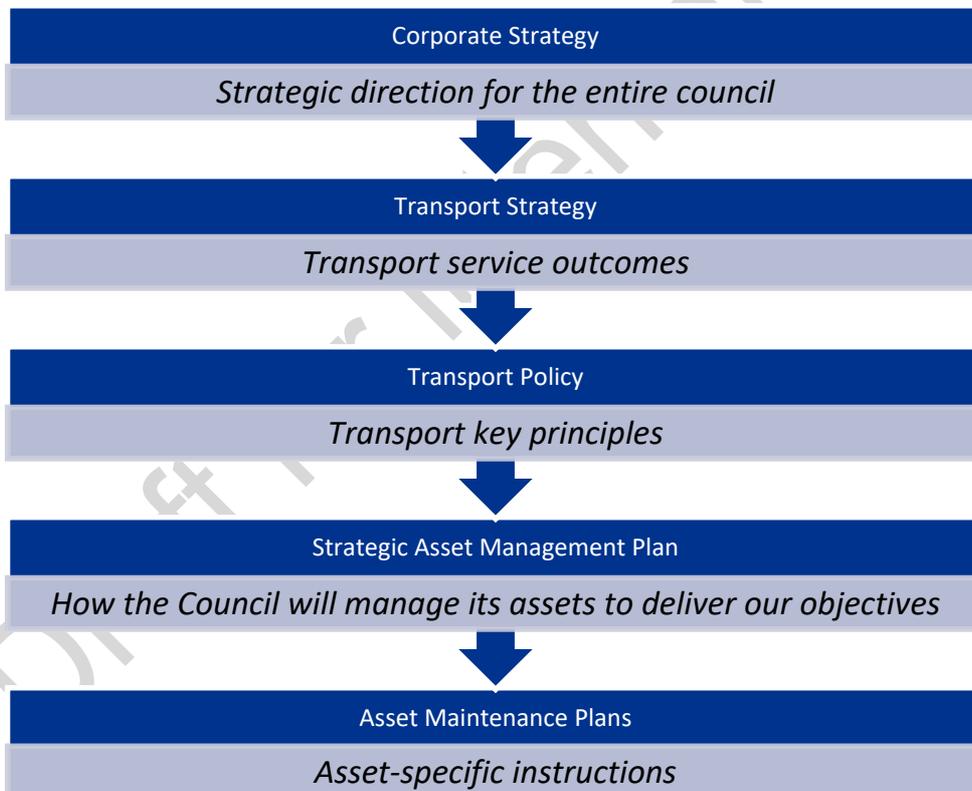
The **Cabinet member for transport** will find the Council’s transport asset commitments here and may use this document to help hold the Council’s management to account for transport performance.

The Strategic Asset Management Plan is also aimed at **senior Council management**, who make strategic decisions which affect assets and asset management, and who need to demonstrate how Council objectives will be met.

4.1 Alignment with other Bristol City Council documents and processes

This Strategic Asset Management Plan is part of a hierarchy of documents which define the management of Bristol City Council’s transport assets. Together, they provide a line-of-sight from Council objectives to the implementation of asset management plans on the assets.

The following diagram shows the linkage between this and the other documents in the hierarchy from the corporate strategy to plans for individual assets.



Bristol City Council’s Corporate Strategy 2018-2023 sets the strategy for the entire council. The Bristol Transport Strategy builds on this to provide transport service outcomes.

The Council's Transport Asset Management Policy (2018) sets out its priorities for management of transport assets, based on the direction set by the Corporate Strategy.

This Strategic Asset Management Plan links the Council's Transport Asset Management Policy and Bristol Transport Strategy with the actions which it will take to deliver them. These actions are set out in detail within asset-specific management plans, such as the Bristol Highways Maintenance Manual. Asset management plans should be developed in accordance with the latest version of this document.

Once it goes live, the Council's QA Process for capital projects will be an important enabler for its asset management strategy. It will provide a formal process for planning and building capital schemes and will be a key process for ensuring that new projects are aligned with Council objectives and will deliver value for taxpayers. The QA Process ensures that all relevant stakeholders are consulted and facilitates cross-department working and efficiencies.

Draft for internal consultation

5. Principles and Objectives

Bristol City Council's Strategic Asset Management Plan is aligned with the Bristol Transport Strategy. It translates Council's objectives and its outcomes for transport (below) into asset-related decisions, plans and activities. The Council's asset management practices will therefore deliver its outcomes for the transport service. Actions are cross-referenced to the Asset Management Improvement Roadmap (Section 9) with superscript numbers.

5.1 Transport outcomes

The following transport outcomes are reproduced from the Bristol Transport Strategy Consultation 2018.

Outcome #1: Efficient movement of traffic around the city, with increased resilience of the network and minimised impacts of congestion and air pollution.

Outcome #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 24-hour economy.

Outcome #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.

Outcome #4: Public transport to be visibly integrated, convenient and reliable to enable people to move around the city in a more efficient way.

Outcome #5: Walking to be safe, pleasant, accessible and the first choice for local journeys and combined with public transport for longer journeys.

Outcome #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.

Outcome #7: A resilient, safe and well-maintained network to enable continuous movement of people and goods, using smart technologies.

Outcome #8: More people making sustainable and healthy transport choices by improving engagement with communities, schools and businesses.

Outcome #9: New developments to be innovative in their approach to prioritise sustainable transport options and address the impact on the existing network.

Outcome #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.

Outcome #11: More efficient transport corridors to move the largest number of people in the space available.

Outcome #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.

Outcome #13: Reduced impact of motorised traffic on local centres creating better public spaces that are more accessible by walking, cycling and reliable public transport.

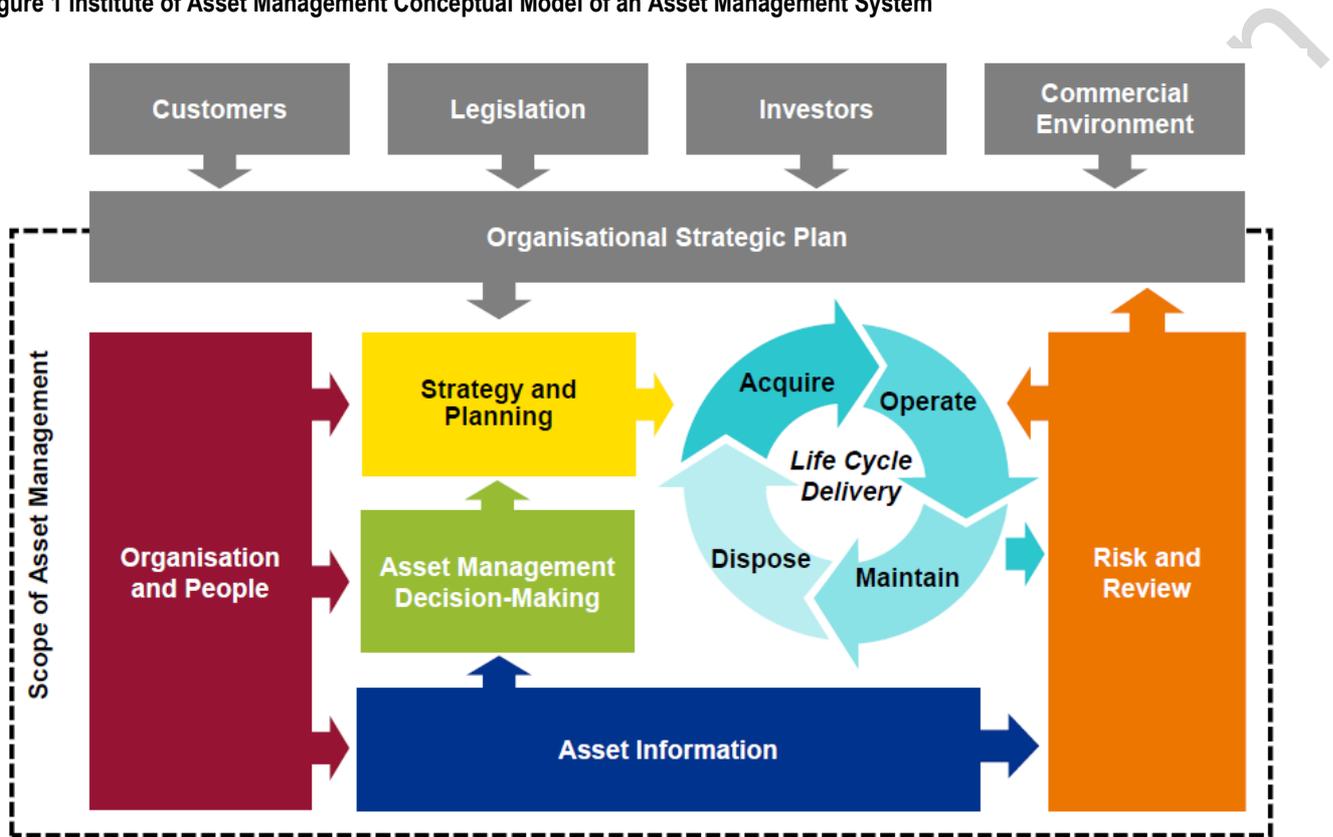
Outcome #14: Key facilities and services increasingly accessible to all citizens without the need to rely on a car.

Outcome #15: Safer places to live by working with citizens to design and deliver measures to improve movement and liveability in our neighbourhoods.

5.2 Overarching objectives

The Council commits to developing a framework to support asset management (a system) that is consistent with the Institute of Asset Management’s conceptual model (Figure 1). The model illustrates the functions and breadth of activities within an asset management system as a suite of six major functions, their interface with others, and the critical role of asset management in delivering on the goals of the organisation’s strategic plan.

Figure 1 Institute of Asset Management Conceptual Model of an Asset Management System

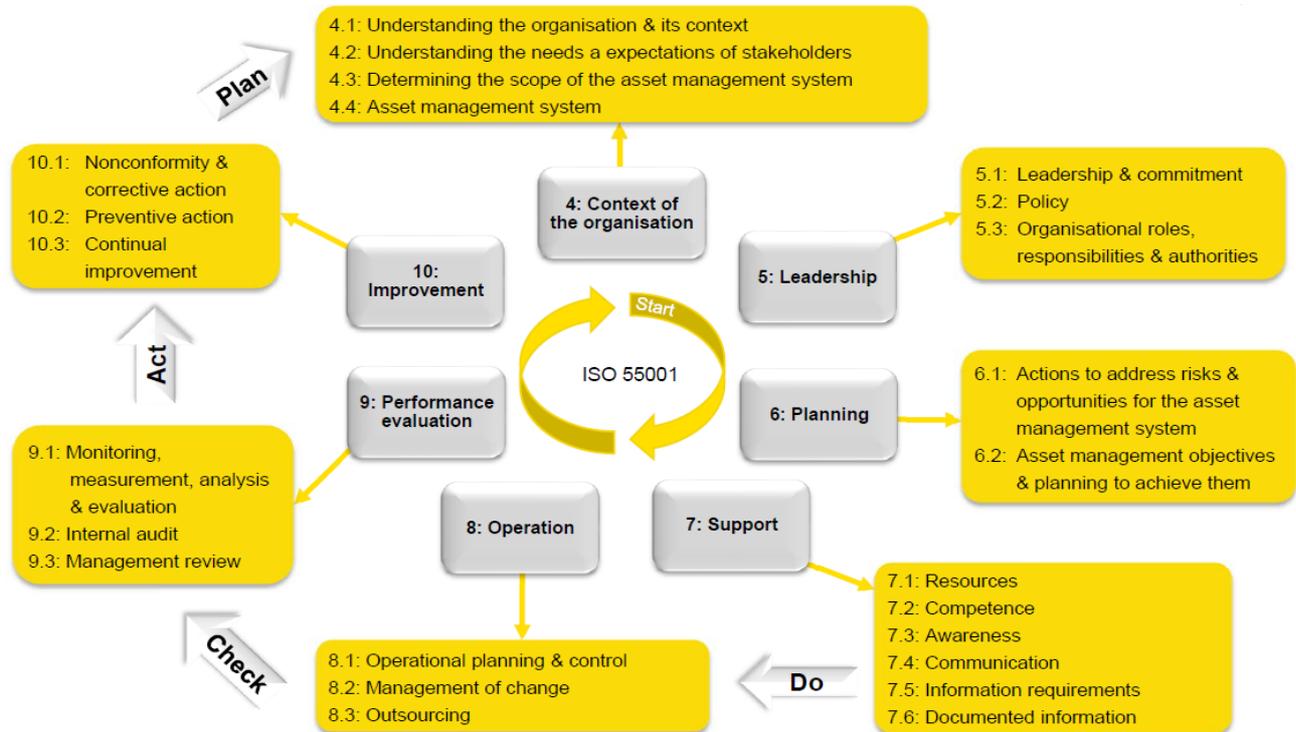


Source: IAM Anatomy: 2012

The Council will develop this framework to support its asset management journey in accordance with the plan, check, do, act principles of ISO 55000 (Figure 2).

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Figure 2 ISO 55000 Framework for Effective Asset Management



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The Council recognises that to develop, sustain and improve its asset management system, it will need to establish asset management as a co-ordinated activity within its organisation to realise value from its assets. The Council will:

- Maintain clearly defined roles for asset management and associated responsibilities, both for developing and stewarding the asset management system itself, and for managing assets in accordance with the asset management system;²
- Ensure that the tools within the asset management information system (such as the asset database) are consistent and compatible with each other.³
- Ensure the right asset attributes and asset data are present in the asset database/s to support lifecycle asset management, including prioritising investment to maximise value at lowest whole-life cost.³

These overarching commitments are supported by a series of objectives specific to the transport asset types for which the Council is responsible.

5.3 Performance measurement

This Strategic Asset Management Plan indicates which asset objectives support which transport outcomes. The Council currently undertakes limited evaluation of its performance against its outcomes using its key performance indicators for transport. The Council will ensure line-of-sight through the organisation to enable the Cabinet to monitor its performance by:

- Undertaking a review of its key performance indicators.⁴ The Council will ensure that each outcome is measurable via one or more key performance indicator and that all key performance indicators contribute to monitoring performance against its outcomes.
- Identifying key metrics for its asset management practice, such as number of potholes repaired, percentage of road network area renewed and reactive vs planned maintenance expenditure. These metrics should all contribute towards an understanding of the effectiveness and efficiency of the Council's

asset management practice. The Council will make these available to the Cabinet at regular intervals to be determined by the Cabinet.⁵

The Council plans to be able to provide performance reports to the Cabinet on a regular basis by [DATE].

Draft for internal consultation

6. Description of assets and services

The Council is responsible for managing Bristol’s highways and local transport infrastructure. It maintains roads, footways, and cycleways and the infrastructure that makes them safe and useable, such as lighting, signage, lines, safety fences and drainage. It also maintains bus stops and parking infrastructure. It maintains Bristol’s road bridges and footbridges, and highway structures such as retaining walls.

The geographical extent of the Council’s asset management responsibilities is shown in Figure 3.

Figure 3 Map of Bristol City Council's area of responsibility



Within this area, the Council manages the following assets:

- 6231 roads, with approximate lengths as follows:

Class	Length (km)
A Roads	95
B Roads	56
C Roads	73
Unclassified	900
Pedestrianised	2
Total	1126

- 5993 footways;

- 544 bridges and highway structures, including vehicular and pedestrian bridges, culverts, tunnels, underpasses and subways;
- 580 retaining walls;
- 45430 highway gullies;
- 36886 street lighting columns;
- 2237 illuminated bollards;
- At least 7637 highway signs;
- 10448 traffic signals; and
- 891 highway verges.

Responsibility for assets within the Council is allocated as shown in Table 2.

Table 2 Allocation of asset management responsibilities within Bristol City Council

Asset type	Planning	Design and construction	Routine maintenance	Capital maintenance, replacement and decommissioning
Pavements (carriageway and footway)	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Paved cycle paths other than in parks	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Unpaved cycle paths other than in parks	[Need information]	Engineering Design Team	Unallocated	Unallocated
Cycle paths in parks	Parks and Green Spaces	Engineering Design Team	Parks and Green Spaces	Parks and Green Spaces
Pedestrian street crossings	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Bridges other than at Bristol Harbour	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Bridges at Bristol Harbour	[Need information]	Engineering Design Team	Harbour Management	Highway Maintenance
Highway structures	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Retaining walls supporting highway assets	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Retaining walls supporting Harbour assets	[Need information]	Engineering Design Team	Harbour Management	Harbour Management
Street lighting	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Traffic signals	[Need information]	[Need information]	[Need information]	[Need information]
Street furniture (lit and unlit)	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Car park structures	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance

Asset type	Planning	Design and construction	Routine maintenance	Capital maintenance, replacement and decommissioning
Highway structures	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Highway drainage	[Need information]	Engineering Design Team	Highway Maintenance	Highway Maintenance
Bus stops	Local and Sustainable Transport	Engineering Design Team	Highway Maintenance	Local and Sustainable Transport
High-friction surfaces	Various	Engineering Design Team	Local and Sustainable Transport	Local and Sustainable Transport
Road signs – physical assets	[Need information]	Engineering Design Team	Highway Maintenance	Local and Sustainable Transport
Road signs – information carried by signs	[Need information]	Engineering Design Team	Local and Sustainable Transport	Local and Sustainable Transport
Road safety cameras	Local and Sustainable Transport	Engineering Design Team	Local and Sustainable Transport	Local and Sustainable Transport
Hire bicycles	Local and Sustainable Transport	Engineering Design Team	Local and Sustainable Transport	Local and Sustainable Transport
Asphalt areas of Bristol Harbour	Harbour Management	Engineering Design Team	Highway Maintenance	Highway Maintenance
MetroBus assets within Bristol area	[Need information]	Engineering Design Team	[Need information]	[Need information]
MetroBus assets outside of Bristol area	[Need information]	North Somerset or South Gloucestershire Local Authority		

7. External and Internal Opportunities and Constraints

7.1 Budget constraints

Bristol City Council's transport maintenance expenditure is constrained by council tax revenue. This means that as the Council faces increasing budgetary pressure due to social and demographic changes, its transport maintenance budget is also put under pressure.

Capital transport works such as road layout improvements are almost entirely funded by central government via the Department for Transport (DfT). The DfT provides the Council with five-yearly indicative funding levels through the Highway Maintenance Efficiency Programme, which allows the Council to plan five years of works at once and build efficiency and service levels into its programme of works. The next indicative funding level will be released in April 2019 for financial years 2020-21 to 2024-2025. By April 2020 the Council plans to have developed an integrated programme of works for the period.

7.2 Asset database and scheduling system

The Council's asset database and works scheduling platform, CONFIRM, is used by the Transport Maintenance department for carriageway, footway, and street lighting assets. The Council's strategy is to extend the use of this asset management IT system by including more assets within it, increasing the quality of data, and using it to schedule a greater proportion of works.

In 2020, the contract for CONFIRM will expire. During 2019 the suitability of the asset management IT system will be re-evaluated in preparation for updating, renewing, or changing the system in 2020.³ This will present an opportunity to move more quickly towards the use of a single asset management IT system for all transport assets, which will facilitate cross-departmental working and programming of works.

The Council will extend the use of the CONFIRM database to all record all new transport assets from when the QA Process is implemented on [DATE].⁶ Existing transport asset data is in the process of being placed onto CONFIRM.

The Council will review the capabilities of its current asset management IT system. It will ensure that the asset management IT system from 2020 is capable of providing a single source of asset data such as location, condition, and asset-specific information such as signage contents, as-built drawings, and pipe depths; as well as supporting the Council's strategy to enable whole-life costing, management of risk, prioritisation, and optimisation of asset management.³

7.3 Asset data held by the Engineering Design Team

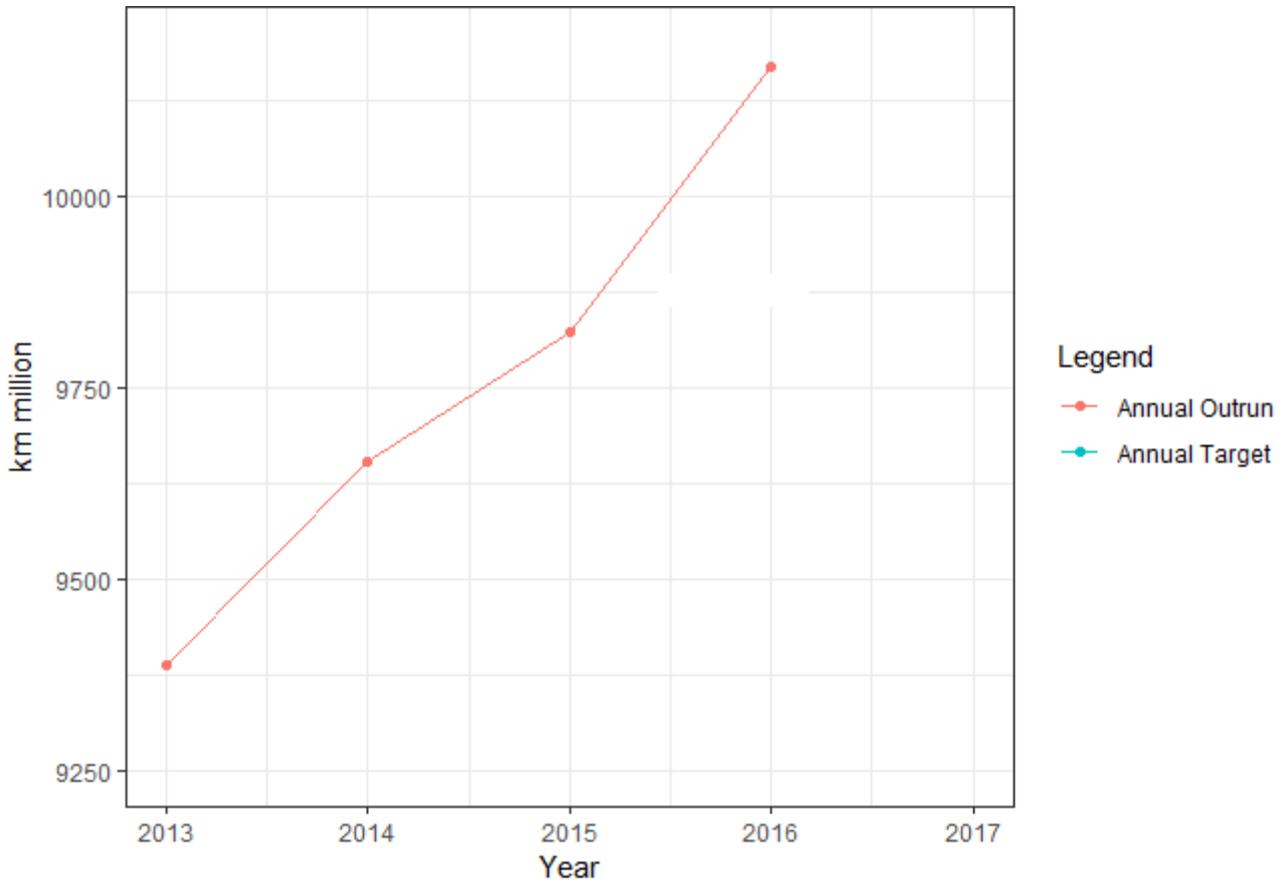
The Engineering Design Team holds as-built asset data on a large number of assets. It also creates as-built asset data for newly commissioned assets. The Council will develop a protocol by [DATE] to have this imported into the CONFIRM asset database to facilitate ongoing maintenance and future works.⁷

7.4 Demand for transport services

Analysis of current and predicted demand for transport services has not been carried out. However, it is apparent that demand for transport is likely to increase over the medium term due to increasing population. The Council's Corporate Strategy sets out the objective to build 2,000 new homes in Bristol each year from 2020, and predicts a population increase of over 100,000 in the next 25 years. At the same time, the Council has committed to improving physical and geographical connectivity.

Council data shows that total vehicle kilometres on Bristol's roads has been on an increasing trend through the middle of the decade (Figure 4).

Figure 4 Total vehicle kilometres on Bristol Council-managed roads

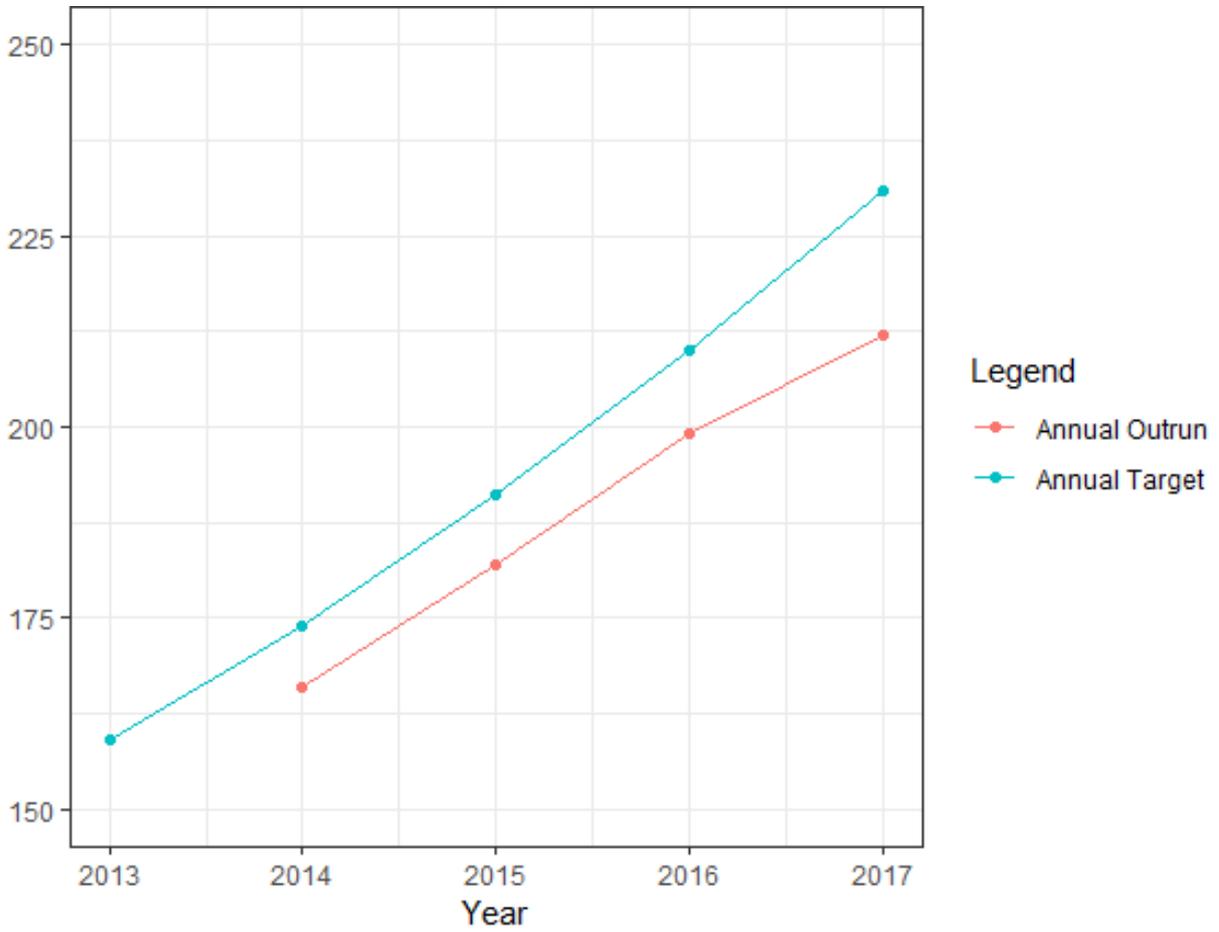


However, an increase in traffic over all does not necessarily imply an increase in peak traffic levels. Peak traffic flows (7 am – 10 am) to the city centre have declined 9% since 2003/04.

Demand for cycling in the city is on an increasing trend, as shown in Figure 5, indicating the increasing importance of the cycle network to Bristol’s connectedness.

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Figure 5 Number of cycle trips relative to 2008/09



To align with the principles of ISO 55000 and enable asset management objectives to support future demand, an analysis of current and predicted demand for transport services should be carried out to inform the Council's strategy.⁸

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8. Asset Management Practice

8.1 Asset management system strategy

The Council acknowledges that good asset management is characterised by whole-life costing; monetised valuation of financial and non-financial costs, benefits, and risks; lifecycle management; the ability to optimise trade-offs between options; and equitable sharing of expenditure between departments. The Council is moving towards the ability to complete whole-life costing for new schemes through its QA Process, and to optimise capital and maintenance works through a five-year programming system. It will continue to move towards asset management good practice through successive iterations of this SAMP and development of its asset management system.

8.1.1 Framework for asset planning, construction and commissioning

The QA Process will align asset management between departments during the design and construction stages of the asset lifecycle. The QA Process is a gateway process for ensuring that internal and external stakeholders have an input into the development of designs for all capital projects. It will be used to ensure that the whole-life cost, carbon footprint, and social benefits of a proposed asset are acceptable.

The QA Process will support the Council's Transport Strategy by allowing prioritisation, programming and optimisation across a portfolio of projects based on the benefits they are expected to deliver. The Council will use the five-year indicative funding information supplied by the Department for Transport via the Highway Maintenance Efficiency Programme to programme its capital works over the financial years 2020-21 to 2024-25.

The QA Process will ensure asset handover to the correct department for operation and maintenance, and the inclusion of baseline asset data in the asset management IT system.

The QA Process is under development and will go live on [DATE].⁶

8.1.2 Framework for maintenance and operation

For the Council's highest risk and most expensive to maintain assets, the framework for operation and maintenance will align maintenance activity to the Transport Strategy using a programme management and optimisation approach. The priority assets for this approach are carriageways and structures.

The Council will develop its capability to:

- Schedule works to minimise disruption.
- Maintain all its assets in a safe condition.
- Prioritise non-safety-critical work to achieve an optimal balance between whole-life cost and service level.

To develop these capabilities, the Council will:

- Improve the detail, accuracy, coverage, and age of asset data.
- Develop lifecycle condition and cost models for important assets.
- Develop service impact and failure consequence models for the most important assets.

Further detail on these objectives is contained in Sections 8.2 and 8.3.

8.1.3 Asset data framework – asset commissioning and operation

The Council will take a proportionate approach to obtaining and maintaining asset data. It will focus on obtaining asset data where there are clear safety need or cost benefits to doing so. At present, this means updating data on:

- Carriageway condition;

- Street light and illuminated street furniture condition and type;
- Condition of bridges; and
- Condition of retaining walls.

The Council will develop, by [DATE], a data strategy to identify and commit to further data collection and storage actions.⁹

Where the Council has readily-available asset data, such as is created by the Engineering Design Team, it will update its records as part of asset handover from design, construction and commissioning to operation. The Engineering Design Team and the Strategic Transport department will agree a protocol for as-built data.⁷ The protocol will define how information created by the Engineering Design Team will be imported into the asset database. It will include the data type, content, and format; checking responsibilities; frequency of provision of data; and responsibilities and procedures for uploading the data to CONFIRM.

The data protocol will define actions and storage locations for asset data that cannot be stored in CONFIRM, to ensure that data such as site surveys and as-built drawings are not lost but remain available for future use indefinitely. Once the data protocol is agreed, The Engineering Design Team and the Strategic Transport team will examine whether and how historic as-built data can be stored to maximise its availability to both teams.¹⁰

By the time the QA Process goes live, the Engineering Design Team, Highway Maintenance team, Local and Sustainable Transport team, and Strategic Transport team will agree a data protocol for signage information. This will include how the location and contents of signs will be recorded to make them accessible to all three departments.¹¹

8.2 Carriageway pavement strategy

This strategy will contribute to delivery of outcomes 1, 6, 7, 9, 11 and 15.

The carriageway pavement is the Council's most important transport asset. It supports the function of all other transport assets, is the largest transport asset, and requires the greatest expenditure to maintain.

The Council operates a programme of planned surface dressing to protect the integrity of the carriageway surface. Planned carriageway maintenance is prioritised by scoring the road by area needing structural repairs, area cracked, number of pothole repairs, number of public complains, number of councillor complaints, road hierarchy, traffic density, and local use.

The rate at which planned surface dressing is undertaken is constrained by funding and the availability of skilled labour. The Council estimates that surface dressing is undertaken on average once every 12 to 15 years. This is thought insufficient to maintain surface integrity. The rate of pothole reporting is increasing year by year and the proportion of planned maintenance funding being spent on pre-patching the road surface before surface dressing is increasing and was above 50% for the first time in 2017-18.

This is a concern, because it indicates that the Council's ability to undertake preventative maintenance is diminishing. Once the carriageway surface deteriorates sufficiently to permit structural damage, it is several times more expensive to restore the carriageway to good condition.

8.2.1 Maintenance strategy

Asset management objectives:

- **To minimise maintenance expenditure and disruption by maintaining the carriageway in a safe condition.**
- **To minimise disruption by co-ordinating works to the carriageway where appropriate.**

This will contribute to delivery of outcomes 1, 6, 7, 11 and 15.

The Council recognises that if the carriageway deteriorates beyond a certain point, the expenditure required to maintain it rapidly increases. To validate and deliver on this objective, the Council is working to improve its carriageway condition data and developing lifecycle models of the carriageway.

The condition is measured by monitoring the number of potholes reported in the city. Condition monitoring needs to be accurate to help fulfil this objective,

The Council's strategy is to move to a system where planned maintenance is programmed with works scheduled by other departments to minimise disruption and make more effective decisions on when to intervene, instead of programming solely based on lowest maintenance expenditure. Both of these factors are important, in that a deteriorating condition will result both in additional expenditure and in increased disruption. The Council will resolve this potential conflict by developing a decision-making tool to decide when works will be scheduled together and when they will not to minimise the total cost and disruption by making effective decisions around the timing of works. This will be agreed between the Highway Maintenance and Strategic Transport departments.¹²

This means that to support its aspiration to optimise planned maintenance to reduce congestion and maintain a steady carriageway condition, the Council will need to obtain additional investment for highway maintenance. Where Highway Maintenance can demonstrate benefits to other departments, funding of these works could be shared with them.

The Council will also seek to better understand carriageway condition and to model carriageway deterioration, so that it can target investment more efficiently.

The Council undertakes responsive maintenance on the basis of defects identified by highway inspectors and public reports and complaints. These are prioritised by the type of road and the severity of the defect. The Council does not plan to change its approach to reactive maintenance.

The Council will publish a Highway Maintenance Manual by [DATE].¹³

8.2.2 Condition monitoring strategy

Asset management objective: to identify the most cost-effective technologies for monitoring asset condition, to inform investment decision-making.

This will contribute to delivery of outcomes 7 and 9.

The Council monitors the condition of the carriageway using the rate of pothole reports, data from SCANNER, and data from SCRIM.

SCANNER is a vehicle-mounted technology which measures the alignment and variation of the road surface. The Council has found indications that SCANNER data is not suitable for planning maintenance of large parts of Bristol's road network. Work is ongoing to evaluate results.

SCRIM is a vehicle-mounted technology which measures the skid resistance of the road surface. This data is collected and held by the Local and Sustainable Transport department and paid for from the Highway Maintenance budget. This data is not currently used to plan maintenance activity, and the Council will review the collection and use of this data by [DATE].¹⁴

To provide enhanced condition data on the carriageway, the Council has undertaken a pilot of an innovative optical condition assessment technology, which could become its primary condition assessment technique. The technology involves photographing the street in high definition at regular short intervals and using an analysis centre to identify features and defects. The Council is analysing the results of the pilot. Following this the Council will complete a cost-benefit analysis of the technology by [DATE] to decide whether to continue with annual inspections using this technology from 2019.¹⁴

If the Council continues with this optical inspection technology, it will investigate the costs and benefits of scheduling optical inspections at varying frequencies for different road types and classifications. It will use the results to prioritise inspections to focus effort on the roads most likely to require inspection and subsequent maintenance work. ¹⁴

8.2.3 Deterioration modelling

Asset management objective: to develop effective deterioration and service impact models to help forecast future asset health.

This will contribute to delivery of outcomes 7 and 9.

By [DATE], the Council will develop deterioration models of the carriageway to undertake strategic modelling. ¹⁵ One option the Council will explore is a Markov chain model to model the rate at which the network deteriorates from one condition to the next. This will be linked to a financial model to show how changes in investment levels are likely to affect future expenditure to maintain the carriageway. This will help senior decision makers to set maintenance budgets and understanding the longer-term implications of budget levels.

The Council will investigate the costs and benefits of developing a service impact model to show how deterioration in condition is likely to affect transport outcomes. This would be useful for senior decision makers in deciding what is an acceptable level of investment to meet Council outcomes, and what the effects of changes in budget could be on service levels. The Council will decide whether to proceed with service impact modelling by [DATE]. ¹⁶

8.3 Bridges and structures strategy

Asset management objectives:

- **To improve the information available on asset status and condition.**
- **To identify and manage the risk presented by bridges and structures.**
- **To formalise the department's relationships with other bridge and highway structure owners and share inspection information.**
- **To implement a streamlined process for stakeholder engagement.**

This strategy will contribute to delivery of outcomes 1, 5 and 7.

Bridges and structures are the Council's highest-risk assets, and present particular difficulties in their management as they are built to many different designs, with varying quality of as-built drawings and information. Many of them are difficult to maintain due to their location, such as retaining walls along the Avon, or their use pattern, such as the city centre bridges over the Floating Harbour.

The Council is consolidating its structure asset information, which it uses to prioritise maintenance, refurbishment, and demolition activity over 1, 5 and 10-year planning periods. Activity is prioritised based on risk factors such as the type of structure, its method of construction, its location, and the services which depend upon it. Monetised risk and social benefits are used to develop business cases for works.

The Council will meet its objectives for bridges and structures by:

- Consolidating and expanding its asset type, condition, and ownership data to get reliable element-by-element information on its asset base. This is an ongoing workstream. ¹⁷
- Using the results of biannual statutory general inspections to model the rate of deterioration of structures and enhance its predictive maintenance capability. ¹⁸
- Including major outfalls within the programme of biannual inspections. ¹⁹
- Programming the six-yearly cycle of principal inspections of structures by risk, and using the outputs from these inspections to programme further works. ²⁰

- Transferring bridges and structures currently owned by the Harbour to the Transport department, to reflect how maintenance is undertaken in practice. This will be complete by [DATE] once inspection and lifecycle modelling of these assets is completed. Changes to ownership within the Council will be made with consideration of the internal budget implications. ²¹
- Streamlining its stakeholder consultation process to provide project stage gates to lock down stakeholder inputs and expedite the development of business cases. This will commence by [DATE]. ²²
- Utilising the outputs from the Approval in Principle process to enhance its understanding of assets. This will commence by [DATE]. ²³
- Recommence monitoring of the Avon Gorge rock face annually to identify and manage risks. A risk assessment to support the business case for this will be completed by [DATE]. ²⁴
- Ensuring that asset management good practice is included in the professional development plans of relevant personnel. ²⁵
- Establishing formalised channels of communications with other departments to identify opportunities for efficiency such as shared projects and to identify possible additional funding. ²⁶

8.4 Line and road stud strategy

Asset management objective: to maintain lines and road studs to support road safety.

This strategy will contribute to delivery of outcomes 1, 2, 5, 6, 10, 11, 13 and 15.

Carriageway markings are present almost everywhere on the road network. They communicate information to drivers, pedestrians, and cyclists. Due to the low value of individual lines and road studs relative to the cost to maintain detailed data on them, the Council does not keep a database of these assets and does not intend to.

When the Highway Maintenance department undertakes maintenance on the carriageway, it uses an informal process to elicit requests for changes to road markings from other departments in the council. Where no changes are requested, it replaces lines and road studs like for line. The Council will determine whether there is a case for formalising this process by [DATE]. ²⁶

The Council maintains lines and road studs reactively based on reports from its highway inspectors and the public. It prioritises replacement of damaged markings which could pose a safety issue, for example at crossings and schools. It does not plan to change its strategy.

8.5 Cycle path strategy

Asset management objectives:

- **To maintain cycle paths in a safe condition.**
- **To integrate cycle network asset management decision-making with highways decision-making to minimise disruption to cyclists.**

This strategy will contribute to delivery of outcomes 1, 6 and 7

Cycle paths provide segregated and unsegregated routes for cyclists, with improved safety over shared carriageways between cars and cycles.

The Council's strategy for paved cycle paths is to maintain a steady asset condition. As cycle demand increases, the connections provided by cycle paths will become increasingly important. The Council will manage its cycle paths to minimise disruption to the network, and ensure that signage and markings provide adequate direction to cyclists.

When the Council develops its cycle path management strategy, it will evaluate whether the following actions could help it to reach its outcomes: ²⁷

- 1) Valuing the disruption experienced by cyclists and using this as part of the cost/benefit analysis for works.
- 2) Using programme management for the Highway Maintenance department to liaise with the Local and Sustainable Transport department to identify opportunities to improve the cycling environment as maintenance activities are carried out.
- 3) Minimising disruption through use of cycle-friendly detours.
- 4) Test signage completeness for main cycle routes and use the results to plan improvements to signage.

8.6 Footway pavements strategy

Asset management objective: to maintain footway pavements in a safe condition.

This strategy will contribute to delivery of outcomes 1, 5 and 7.

Footways enable safe pedestrian movement throughout the city.

The Councils' strategy is to maintain a steady footway surface condition. It coats asphalt pavements with a bituminous emulsion once every 12 years to maintain surface integrity. It does not undertake planned structural maintenance to modular pavements.

The Council inspects footways at regular intervals from one month to one year depending on their use.

The Council undertakes high-level monitoring of city-wide footway condition using pothole repair rates.

Reactive maintenance is prioritised by the danger that a defect could pose to the public based on key parameters including road hierarchy, use, defect parameters and defect locations.

8.7 Street lighting and illuminated street furniture strategy

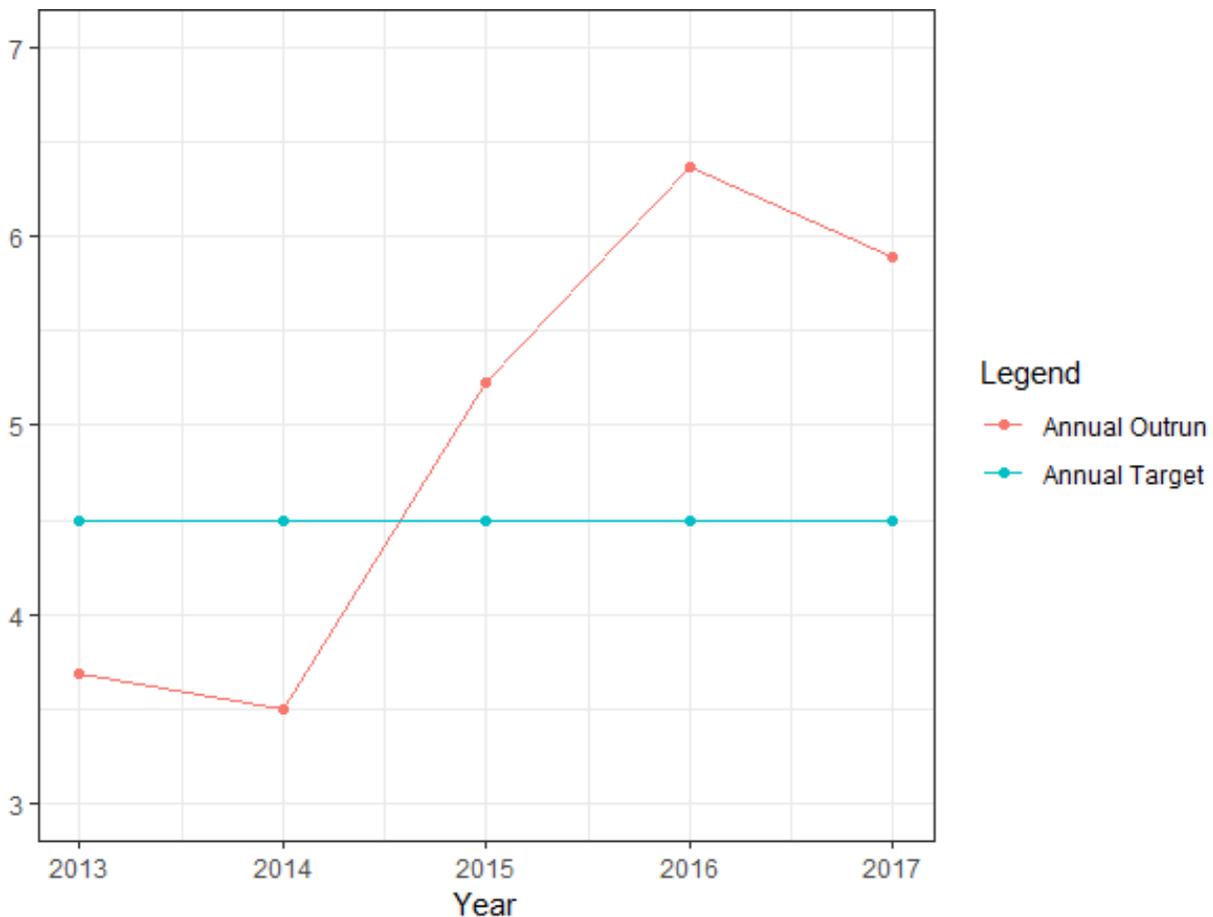
Asset management objective: to maintain street lighting and illuminated street furniture to support road and footway safety.

This strategy will contribute to delivery of outcomes 1 and 7.

Street lights enhance safety for all road and footway users at night.

Street lighting and illuminated street furniture are maintained reactively based on reports from the public and Council inspectors. Council data shows that the time taken to repair street lights has generally been increasing over recent years (Figure 6), and this strategy will help to address this challenge.

Figure 6 Average time taken to repair Council street light (days)



The Council's strategy is to:

- Undertake a programme of safety and condition assessment on the entire street lighting and illuminated street furniture asset portfolio. This will be complete by April 2022.²⁸
- Upgrade the quality and coverage of its asset data. This is being done at the same time as the inspection programme.
- Replace all remaining 'yellow' sodium lamps with LEDs as they fail.
- Implement a communications management system to monitor street lighting assets remotely and allow remote control of lighting levels to save electricity and reduce light pollution.²⁹

8.8 Signage asset strategy

Asset management objective: to ensure signage is relevant, legible, and complete.

This strategy will contribute to delivery of outcomes 1, 2, 4, 5 and 6.

Bristol's road signage provides information on local and advanced wayfinding, parking, tourist and local information, cycle and pedestrian routes, and traffic enforcement. It is essential for the safe and efficiency operation of the transport network.

Routine maintenance of the physical sign asset is undertaken on a reactive basis by the Highway Maintenance department.

The integrity of the information on signs is managed on an ad-hoc basis. This has allowed a gradual divergence between the information that should be displayed on signage and the information that is actually displayed. This is particularly evident with traffic restriction orders and advanced wayfinding signs.

Asset data is available on the position of signs and the information they carry, but this information is held in pdf, AutoCAD, paper, and other relatively inaccessible formats. The Council has no asset database for signage assets.

The Council will evaluate, by [DATE], the scale of the divergence in signage, its current management practice, and the actions it will take. It will write this into a plan for signage.³⁰ The action it could take includes:

- Development of a signage database; or a signage data type in the Council's asset management platform CONFIRM, and a process to update this every time a signage request or change is made.
- Investigation of whether the optical road network survey completed in 2018 can provide signage data.
- A project to align traffic restriction order signage with the traffic restriction orders the Council has.
- Identification of advanced destinations and the best routes, and update of signage. This will contribute to the resilience of Bristol's transport network in the event of a failure of the GPS system or mobile network.
- Identification and update of signage for tourist destination, cycle routes, and footpaths.

8.9 Street furniture strategy

Asset management objective: to maintain street furniture in a safe condition.

This strategy will contribute to delivery of outcomes 1, 5 and 6.

Street furniture includes assets such as safety barriers, bollards, and hand rails. These contribute to the safety of the city.

Street furniture, such as bollards, safety fences, and street tree borders, are maintained reactively based on reports from the public and Council inspectors. Reported defects are prioritised according to the risk they pose to safety. The Council does not undertake routine maintenance other than inspections. It does not plan to change this strategy.

8.10 Highway drainage strategy

Asset management objective: to maintain high gully availability at minimum whole-life cost and risk.

This strategy will contribute to delivery of outcomes 1, 6 and 7

Road gullies and the pipes that connect them to the city drainage keep the roads safe and drained during wet weather.

Most of the Council's road gullies are in the carriageway, so cleaning them can cause disruption and presents a risk to workers, as well as being a cost to the council. The Council's strategy is to minimise the number of visits made to road gullies by targeting cleaning based on condition so that all gully pots are cleaned when they are close to being full of grit.

At present, road gullies are inspected approximately every 18 months and the level of sediment is recorded. Cleaning of road gullies is based on the sediment level in the gully pot. The Council is building a record of sediment levels across all of its gully pots which is allowing it to move to a planned maintenance approach based on the modelled rate of sedimentation in each pot. It is also positioning several hundred gully sensors in strategic locations to alert it to when groups of gullies need to be cleaned. These will be positioned to minimise the number of visits which need to be made to gullies in dangerous locations such as high-speed roads. This will be complete by [DATE].³¹

To maintain the integrity of data on these assets, by [DATE] the Council will ensure that as-built data on new gullies, including depth of pot and downstream connection, are received from the Engineering Design Team and entered into CONFIRM.⁷ Where possible, automation will be used to obtain archived as-built gully data.¹⁰

8.11 Bus stop infrastructure strategy

Asset management objective: to maintain bus stop infrastructure in a safe condition with high availability.

This strategy will contribute to delivery of outcomes 1, 4, 7, 9, 10, 11, 13, 14 and 15.

Bus stop infrastructure, such as shelters, realtime display boards, signs, and bus stop surfaces, enables the movement of people by public transport.

Bus stop infrastructure is planned by the Local and Sustainable Transport department. Maintenance is divided between Local and Sustainable Transport and Highway Maintenance. Routine maintenance is generally done by Highway Maintenance and capital maintenance is generally done by Local and Sustainable Transport.

The Council's strategy is to continue reactive maintenance to these assets. However, by [DATE] it will evaluate:³²

- Whether prioritisation of maintenance could be adjusted to provide service which is better aligned to the transport outcomes, including how asset condition affects perceptions of public transport in Bristol, and how this affects key performance indicators;
- Whether the Council can use punctuality information from real-time display boards to evaluate the effectiveness of its asset management for its other assets such as bus lanes and parking restriction signage;
- Whether there is a case for planned maintenance or increased inspections of bus stop infrastructure; and
- How the Council can improve communications between Local and Sustainable Transport and Highway Maintenance to provide clear maintenance responsibilities and actions, including the possibility of using CONFIRM to register Local and Sustainable Transport assets and manage works to them.

8.12 High-friction surface strategy

Asset management objectives:

- **To consistently evaluate the costs and benefits of high-friction surfaces and install them only where cost beneficial.**
- **To agree an equitable cross-department funding arrangement for maintenance of high-friction surfaces.**
- **To apply lowest whole-life cost approaches to installing and maintaining high-friction surfaces.**

This strategy will contribute to delivery of outcomes 5, 6 and 7.

High-friction surfaces are used to provide safety, aesthetic, and other benefits to road users.

High-friction surfaces are currently installed by multiple departments and maintained by Highway Maintenance. This has led to a situation where installations are made with minimal consideration and provision for the ongoing cost of maintenance, and the area of high-friction surfaces continues to increase. However, high-friction surfaces are particularly expensive to maintain, costing over 20 times as much as the same area of standard asphalt surface to maintain. Due to the very high cost of maintaining these surfaces, it is not always possible to maintain them or to reinstall them after carriageway surface dressing, but the criteria for ongoing maintenance of these surfaces are not formally agreed.

By [DATE], the Council will:

- Develop a high-friction surfaces policy to specify where high-friction and coloured surfaces may be installed and where and when they shall be maintained. ³³
- Develop a specification for high-friction surface installations to ensure that the Council installs assets with the lowest whole-life cost. ³⁴
- Agree a budget strategy for the maintenance of high-friction surfaces. This could include a cap on the total area of high-friction surfaces, stringent requirements for installation of high-friction surfaces to limit the total area, a funding mechanism between departments installing and maintaining the surfaces, and/or seeking additional funding for these surfaces. ³⁵
- Begin to record new and maintained high-friction surfaces in CONFIRM to monitor the stock of high-friction surfaces and their age, to enable future maintenance to be carried out in a planned, efficient manner and to enable benchmarking of asset life against other local authorities and supplier expectations. ³⁶

8.13 Bus lane strategy

Asset management objective: to maintain bus lanes

This strategy will contribute to delivery of outcomes 1, 4, 10, 11, 13 and 14.

Bus lanes are planned by Local and Sustainable Transport and maintained reactively by Highway Maintenance in accordance with the Council's strategies for road markings and high-friction surfaces. The Council does not intend to change its asset management strategy for bus lanes as they are currently bundled with road markings.

8.14 Cycle hire infrastructure strategy

The Local and Sustainable Transport department is responsible for cycle hire infrastructure and hire cycles. It also maintains unpaved cycled paths on a reactive basis.

By [DATE], the Council will develop a strategy for managing these assets. ³⁷

8.15 Safety camera network and sundry assets

The safety camera network is managed by the Local and Sustainable Transport department and is subject to its own legally-mandated operation and maintenance practice.

8.16 Sundry transport assets

Miscellaneous assets such as crossing attendant uniforms, mobile safety cameras, car seats, and inspection equipment are managed in accordance with operational needs.

9. Asset Management Improvement Roadmap

This Strategic Asset Management Plan declares the Council's commitment to the following actions.

Ref	Start date	Completion Deadline	Action	Owner	Selected subtasks	Date of knowing the BCC impact
1			Review and revise SAMP.	Razvan Constantinescu		
2			Define roles for managing and development of asset management system.	TMT		
			Undertake consultation in advance of retendering of CONFIRM system to ensure the future asset management IT system supports the Council's asset management strategy. This will feed into the data strategy (action 9)	Razvan Constantinescu	<ol style="list-style-type: none"> 1. Identify stakeholders. This will primarily be current and possible future users of CONFIRM, i.e. all individuals and teams who are involved in asset management activities. 2. Consult with stakeholders to determine current and future user requirements. 3. Write software requirements specification. Use this for retendering. 	4.
4			Review transport key performance indicators to ensure asset management performance monitoring supports transport strategy performance monitoring.	Razvan Constantinescu	<ol style="list-style-type: none"> 1. Identify gaps in ability to monitor performance against transport strategic objectives. 2. Establish targets and monitoring processes for objectives which do not have coverage. Complete impact assessment on effort and complexity of monitoring, 	3.
5			Prepare for and commence transport asset management reporting to	Razvan Constantinescu		

Strategic Asset Management Plan

Ref	Start date	Completion Deadline	Action	Owner	Selected subtasks	Date of knowing the BCC impact
			Cabinet.			
6			Complete: Commission QA process. All new capital projects to go through QA process.	Razvan Constantinescu		
7			Agree data protocol for as-built data to go into CONFIRM.	Razvan Constantinescu	<ol style="list-style-type: none"> 1. Plan types of as-built data to be retained, retention policy and access policy (should be part of data strategy). 2. Ensure CONFIRM capability to retain this data. 3. Agree data format and procedure/system to capture this data. 	4.
			Analyse current and predicted demand for transport to inform policy to deliver transport strategy.	Ed Plowden	<ol style="list-style-type: none"> 1. Agree measures to assess progress against transport strategy. 2. Model current and 'do-nothing' forecast demand for transport by type. 3. Evaluate proposed actions (maintenance, capital investment) by their forecast effects on transport performance. 	4.
9			Develop asset data strategy.	Razvan Constantinescu	<ol style="list-style-type: none"> 1. Identify and prioritise Council needs for asset data for maintenance, operation, planning and performance monitoring. 2. Identify current data available and gaps in availability, including accessibility, age, reliability and format of data. 	4.

Strategic Asset Management Plan

Ref	Start date	Completion Deadline	Action	Owner	Selected subtasks	Date of knowing the BCC impact
					3. Plan strategy to address shortcomings based on data priorities. Link to action 3, ensure asset IT system supports asset management objectives and requirements.	
10			Determine how pre-existing as-built data can be imported into CONFIRM. Depends upon action 7, agree data protocol.	Razvan Constantinescu		
11			Agree data protocol for signage information. This should link to the signage plan (action 30) and data strategy (action 9).	Razvan Constantinescu		
12			Develop decision-making policy/tool to decide when works will be scheduled together.	Nick Pates		
13			Publish Highway Maintenance manual.	Nick Pates		
14			Agree future carriageway inspection strategy, technologies, and programme.	Shaun Taylor		
15			Develop deterioration models for the carriageway.	Shaun Taylor		
16			Evaluate costs and benefits of service impact modelling for maintenance prioritisation.	Shaun Taylor		
17			Complete consolidation of existing structures asset data and perform gap	Chris Dooley		

Strategic Asset Management Plan

Ref	Start date	Completion Deadline	Action	Owner	Selected subtasks	Date of knowing the BCC impact
			analysis to inform remedial inspections. Should contribute to action 9, develop asset data strategy.			
18			Create framework to use results of biannual general inspections to model deterioration of structures and predict maintenance requirements.	Chris Dooley		
19			Obtain budget for major outfall inspection and commence biannual inspections.	Chris Dooley		
20			Create framework to schedule principal inspections by risk and statutory requirements.	Chris Dooley		
21			Investigate possibility of transferring ownership of bridges and structures from Harbour to Transport. A wider review of asset ownership could also be considered.	Chris Dooley		
22			Improve business case development process by streamlining stakeholder consultation process. This could link to the QA process.	Chris Dooley		
23			Create framework and assign responsibilities to retain outputs from Approval in Principal process within asset management IT system.	Chris Dooley		
24			Recommence monitoring of the Avon Gorge rockface.	Chris Dooley		
25			Include asset management good	Razvan		

Strategic Asset Management Plan

Ref	Start date	Completion Deadline	Action	Owner	Selected subtasks	Date of knowing the BCC impact
			practice in the professional development of relevant personnel.	Constantinescu		
26			Establish formal, regular lines of communication between departments to identify opportunities for efficiency such as shared projects. Should link to action 12, policy/tool for to decide when works should be scheduled together.	Adam Crowther		
27			Develop cycle path management strategy.	Ed Plowden		
28			Complete safety and condition survey of street lighting and illuminated street furniture.	Mark Sperduty		
29			Implement a communications management system to monitor street lighting assets remotely.	Mark Sperduty		
30			Develop plan for management of signs and signage data. This should link to the signage data protocol (action 11).	Mark Sperduty		
31			Complete placement of road gully sensors.	Shaun Taylor		
32			Review maintenance strategy for bus stop infrastructure.	Ed Plowden		
33			Develop high-friction surface policy.	Shaun Taylor		
34			Develop specification for high-friction surface installation.	Shaun Taylor		

Strategic Asset Management Plan

Ref	Start date	Completion Deadline	Action	Owner	Selected subtasks	Date of knowing the BCC impact
35			Agree budget strategy for maintenance of high-friction surfaces.	Shaun Taylor		
36			Record new and maintained high-friction surfaces in CONFIRM.	Shaun Taylor		
37			Develop strategy for management of cycle hire infrastructure.	Ed Plowden		

10. Supporting Documents

Bristol City Council, *Bristol Transport Strategy Consultation 2018*.

Bristol City Council, *Corporate Strategy 2018-2023*.

Institute of Asset Management, *Asset Management – an Anatomy*, 2015.

Institute of Asset Management, *Developing and maintaining a Strategic Asset Management Plan (SAMP)*, 2017.

ISO 55000 Asset Management – Overview, Principles and Terminology

Arup & Partners Ltd, *Bristol City Council SAMP Scope and Structure*, 2018. Unpublished.

11. Glossary

Term	Definition
Asset	Item, thing or entity that has potential or actual value to an organization. <i>(ISO 55000 definition)</i>
Asset database	A systematic inventory of information about assets.
Asset life cycle	Stages involved in the management of an asset. <i>(ISO 55000 definition)</i>
Asset Management	Coordinated activity of an organisation to realise value from an asset. <i>(ISO 55000 definition)</i>
Asset management IT system	A computerised system for some or all of acquiring, storing, processing and using information about assets.
Asset management system	A set of interrelated or interacting elements of an organisation whose function it is to establish the organisation's asset management policy and objectives. <i>(Adapted from ISO 55000)</i>
SCANNER	Surface Condition Assessment for the National Network of Roads)
SCRIM	Sideway-force Coefficient Routine Investigation Machine.



Assets Management Policy

Our City Assets:

The highway network is the largest and most visible publicly owned asset. It is used daily by the travelling public for commuting, business, social and leisure activities. It is fundamental to the economic, social and environmental wellbeing of local communities and to the prosperity of the city as a whole.

Our Vision:

We will have a strategic approach to managing our assets to ensure best use of resources and return on investment, which is supported by objectives and performance targets. In doing this we will support the 2018-2023 Bristol Corporate Strategy:

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

Through the effective management of our existing assets and through building of new assets when necessary, we will ensure that a modern infrastructure is in place which will meet the needs of people, goods and services to move about the city in a safe way.

Our Mission:

We will proactively monitor the condition of our assets and use the resulting intelligence to prioritise and allocate funding resources to maintain them, balancing risk and performance in short, medium and long term.

In pursuit of our Vision, we will deliver our statutory duties to ensure the safety of our communities, staff and contractors and the general public through the promotion of a positive health and safety culture and adherence to legislation and recognised standards.

We will robustly monitor our performance management against our objectives and targets and promote continual improvement. We will ensure the safety of our staff, contractors and the general public is paramount through the active promotion of a positive health and safety culture.

Bristol City Council is committed to the development and maintenance of a safe and efficient network of assets. In undertaking this commitment we shall prioritise the safety and wellbeing of our residents, staff and partners by compiling will all legal and regulatory requirements in our activities.

Bristol City Council further commits itself to reviewing its policies so they remain fit for purpose, while reflecting the evolving requirements of our residents and stakeholders.

This commitment is endorsed by the Bristol City Council's Cabinet with everyone in the organisation being responsible for its implementation.

Cllr Mhairi Threlfall
Cabinet Member for Growth and Regeneration
August 2018

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 18 June 2019

TITLE	MetroWest Phase 2 (Henbury rail line and increased rail services to Yate)		
Ward(s)	The MetroWest Phase 2 project has a Citywide impact. Highway works and improvements impact Bishopston & Ashley Down and Lockleaze wards		
Author: Melanie Bufton/Andrew Davies	Job title: Principal Transport Planner		
Cabinet lead: Cllr Kye Dudd	Executive Director lead: Colin Molton		
Proposal origin: <i>City Partner</i>			
Decision maker: Cabinet Member Decision forum: <i>Cabinet</i>			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To provide an update on the MetroWest Phase 2 rail project. 2. To seek approval to continue to support the scheme and to delegate authority to the Executive Director of Growth & Regeneration, in consultation with the Cabinet Member for Transport, and Director of Legal and Democratic Services, to finalise, sign and seal an updated Initial Promotion Agreement in conjunction with South Gloucestershire Council if required, subject to Bristol City Council not being exposed to any additional financial commitment or risk. 3. To note that there will be public engagement on highway options and proposed access arrangements associated with the new Ashley Down rail station. 4. To delegate authority to the Director of Economy of Place, in consultation with the Cabinet Member for Transport, to approve the final scheme following public engagement based on the draft scheme set out in appendices A3 and A4 and the delivery of access requirements. 			
Evidence Base:			
<p>The MetroWest Programme is part of an integrated transport approach to increase connectivity, improve transport network resilience, and; reduce car dependency and congestion. The Programme seeks to increase both the capacity and accessibility of the local rail network. It is identified in the Joint Local Transport Plan 3 (JLTP3), 2011-2026, which provides the statutory basis for Bristol City Council’s (BCC) transport policies, Bristol Local Plan Core Strategy, adopted June 2011, Policy BCS10, the draft Bristol Transport Strategy (to be finalised summer 2019) and the One City Plan to 2050. The emerging JLTP4, 2019-2036, identifies MetroWest as a committed scheme and development of which is a rail priority, stating ‘We will deliver passenger rail service and capacity improvements, station upgrades and a new stations package, including MetroWest phases 1 and 2’.</p> <p>MetroWest Phase 2 will re-open the Henbury line to passenger services with an hourly service to new stations at Ashley Down, North Filton and Henbury. It will also increase the frequency of services to Yate. It is a key infrastructure project which supports the sustainable economic growth and spatial plans for the West of England. The planned delivery of 105,500 new homes and creation of 82,500 new jobs up to 2036, assumes that both MetroWest Phase 1 and 2 have been delivered and are operational.</p> <p>BCC’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 and in 2017 the West of England Combined Authority (WECA) was formed and became a partner in this project. The Preliminary Business Case was approved by the West of England Joint Transport Board in 2015. The Outline Business Case (OBC) has now been prepared following further</p>			

scheme development and has identified a funding gap due to a number of reasons including an increase in allowance for risk; operating and mobilisation costs higher than previously estimated, and; increase in station access infrastructure costs. As a result, estimated scheme costs have risen from £43.100m to £54.163m. Agreed scheme funding sources are as follows:

Estimated scheme cost based on Preliminary Business Case (2015): £43.100m, comprising of:

- Devolved Major Scheme Funding: £36.500m
- Local Growth Fund: £3.200m
- South Gloucestershire Council (SGC): £0.540m
- S106: £2.300m (forms part of SGC's overall project contributions)
- BCC £0.560m

Revised estimated scheme cost based on Outline Business Case (2019): £54.163m

- The OBC has been submitted to WECA with a request for £11.063m additional funding (from the Investment Fund). To be considered by WECA 14th June 2019.

This is a joint scheme between SGC and BCC with funding split for project development 78:22 respectively as set out in the Initial Promotion Agreement (IPA). At the time of BCC's Cabinet endorsement in January 2013, financial liabilities were also shared with North Somerset Council (NSC) as follows: SGC 75%, BCC 20%, NSC 5%. In 2015, it was agreed that NSC should no longer bear any liabilities for the scheme as improved services within NSC to Weston Milton no longer formed part of the scheme. Their 5% share was therefore split between SGC and BCC.

The 2013 Cabinet decision included approval for development funding of £560k up to 2016/17 which has been funded from BCC's 'Investing in Bristol' fund and Transport Capital Programme. No further development funding is required from BCC as per the OBC submission which assumes no further contributions from either SGC / BCC but is subject to approval at WECA Joint Committee (14th June 2019).

The estimated £11.063m funding shortfall is to be sought from WECA with no additional funding required from BCC. A full Quantified Cost Risk Assessment (QCRA) has been undertaken and has informed the scheme costs. This QCRA has appraised risks across all areas of the project and represents around 21% of total scheme costs.

The OBC has determined that the scheme currently provides a Benefit to Cost Ratio (BCR) of 1.88 (including wider impacts), and is considered to offer Moderate Value for Money. However, as part of the Full Business Case (FBC), which will be the next stage of development, further assessment of the BCR will be undertaken and it is considered that there are a number of factors which could improve the BCR such as additional growth and alignment with demand from existing and emerging developments.

A new Cabinet approval is sought to continue to re-affirm BCC's commitment to support the development of the MetroWest Phase 2 project in accordance with the IPA, subject to Bristol City Council not being exposed to any additional financial commitment or risk.

The IPA sets out the governance arrangements for further development of the MetroWest Phase 2 project between BCC and SGC, with SGC the lead authority of the project. This Agreement will expire shortly and a new IPA will be needed following approval of the OBC by the West of England Joint Committee, scheduled for 14th June 2019. It is anticipated that scheme liabilities between SGC and BCC will remain at 78:22 respectively, subject to further legal and financial advice. WECA's role in future governance arrangements for the scheme are also being considered which could offer the option of WECA taking on a promoting role, potentially not requiring BCC to sign a new IPA. Legal advice will be sought as this discussion progresses and delegated authority is sought from Cabinet to enter into a new IPA if appropriate.

New stations and services provided by MetroWest will need to be designed to meet all statutory accessibility standards. To support the new rail station at Ashley Down highway works and improvements to pedestrian/cycle access in the vicinity (Station Road and Station Lane) will be necessary. Proposals for highway works and improvements, which impact two wards, have sought to address key challenges which are to:

- Improve accessibility to the station area, including provision of an Equality Act compliant path to the station from Station Road
- Design out potential conflicts between users, particularly on Concorde Way
- Align with other projects, such as Muller Road corridor improvements

It is anticipated proposed designs for access to the new Ashley Down rail station, as set out in Appendices A3 and A4, will go out to public engagement at the same time as designs for the new Ashley Down rail station late 2019. Cabinet approval is sought to delegate authority to deliver the required station access works, to be funded by the MetroWest project or developer contributions secured through the planning process if appropriate.

Proposals to improve access from Station Road to the new station affect third party land that is currently owned by Sustrans, and part of which is licenced to BCC for use as a pedestrian and cycle path (Concorde Way). To enable BCC to deliver the works and improvements, negotiations with regard to acquisition of this land may be required.

Cabinet Member / Officer Recommendations:

That Cabinet

1. Note the contents of the MetroWest Phase 2 update and proposals for public engagement on highway options and proposed access arrangements associated with the new Ashley Down rail station.
2. Approve Bristol City Council’s continued support for the scheme.
3. Delegate authority to the Executive Director of Growth & Regeneration, in consultation with the Cabinet Member for Transport, and The Director of Legal and Democratic Services, to finalise, sign and seal an updated Initial Promotion Agreement in conjunction with South Gloucestershire Council if required, subject to Bristol City Council not being exposed to any additional financial commitment or risk.
4. Delegate authority to the Director of Economy of Place, in consultation with the Cabinet Member for Transport, to approve the final scheme following public engagement, based on the draft schemes that are set out as appendices (Appendix A3 and A4) to the report and the delivery of access requirements.

Corporate Strategy alignment:

The MetroWest Phase 2 project is proposing to re-open the Henbury Line to an hourly spur passenger service and increase train services to Yate to a half-hourly with new stations at Henbury, North Filton and Ashley Down. 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 forms part of the Joint Transport Strategy to support the WoE Joint Spatial Plan which sets out how 105,500 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. By providing proposed access improvements and two parking bays designated for Blue Badge holders at Ashley Down, we are ensuring rail services are inclusive and that future passengers are able to access rail services from the proposed new station.

Consultation Details:

1. **MetroWest Phase 2:**
A Stakeholder Management and Engagement Plan has been produced for MetroWest Phase 2. The purpose of the plan is to set out how the project intends to engage with stakeholders and the public during the project. The Plan is intended to be a ‘live’ document which will be reviewed as the scheme progresses.
2. Highway works and improvements consultation undertaken:
 - i) QA Stage 2 internal consultation
 - ii) Engagement with Network Rail

iii)	Transport Delivery Board
iv)	TMT
v)	Cabinet Member for Transport

Background Documents:

Preliminary Business Case: <https://travelwest.info/project/mw2-pbc>

Outline Business Case: (To be appended)

Revenue Cost	£0	Source of Revenue Funding	n/a
Capital Cost	£54.163m	Source of Capital Funding	<ul style="list-style-type: none"> • Devolved Major Scheme Funding: £36.5m • Local Growth Fund: £3.2m • SGC/ BCC £1.1m • S106: £2.3m & land (SGC) • £11.1m to be sought from WECA
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 provides an update on the MetroWest Phase 2 project and seeks approval to continue to fund scheme development as per the initial IPA subject to additional funding being secured from WECA.

The original estimated cost of the project was £43.1m (BCC funding £560k). Recent Grip 4 estimates costs at £54.2m (with the BCC element not expected to change). An increase in the estimated funding required for the project as identified in the Outline Business Case (£11.1m) is to be sought from WECA and there is no expected increase in cost to BCC.

SGC & BCC are partners in implementing this scheme with their funding split 78:22 respectively (as set out in the Initial Promotion Agreement). This split represents the proportion of their individual contributions and is not based on the total project cost.

The project has a revised Benefit to Cost Ratio (BCR) of 1.88 which demonstrates Moderate Value for Money at this stage.

The scheme also has provisional funding entry in the WoE EDF programme as a back stop in case the Devolved Major schemes funding is not released in time.

There are no new funding implications for BCC resulting from this report, and it is expected that WECA will underwrite any risk of cost over-run. There are ongoing discussions about the role of WECA in future governance.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth & Regeneration, 05 June 2019.

2. Legal Advice: Should the funding be made available for the project to proceed the Council will need to complete a Joint Promotion Agreement with the Lead Authority (South Glos Council). The legal agreement will make provision for all legal and governance arrangements for the project and agree the financial contributions made by Bristol City Council to the project. It will also make provision for the ownership and management of the assets once the project is completed.

The delivery of the project may make it necessary to acquire land to facilitate all the works necessary to implement the scheme once it is finalised following public engagement. Depending on the outcome of negotiations to acquire the land a further report to Cabinet may be required.

Legal Team Leader: Joanne Mansfield 24th April 2019

3. Implications on IT: There are no direct IT implications expected as a result of the proposals in this paper. Any

consequential implications, such as IT provision for any project teams or in order to integrate transport data into BCC systems would need to be considered at the relevant phase of the project.

IT Team Leader: Ian Gale, Head of IT, 18 April 2019.

4. HR Advice: The project will be undertaken using existing BCC staffing resources. Project development funding drawn down from WECA will include costs for work undertaken by the rail industry and their appointed contractors. There are no anticipated HR implications.

HR Partner: Celia Williams, HR Business Partner 25 April 2019

EDM Sign-off	Patsy Mellor	17 April 2019
Cabinet Member sign-off	Cllr Dudd	30 th April 2019
For Key Decisions - Mayor's Office sign-off	Mayor's office	3 rd May 2019

Appendix A – Further essential background / detail on the proposal A1: MetroWest Cabinet Report January 2013 A2: OBC Executive Summary (including network diagram) A3: Ashley Down Station connections draft design (west side) A4: Ashley Down Station connections draft design (east side) A5: Sustrans land licence A6: MetroWest Phase 2 Initial Promotion Agreement A7: MetroWest Phase 2 Stakeholder Management and Engagement Strategy	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 proposal	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

CABINET – 24 JANUARY 2013 EXECUTIVE SUMMARY OF AGENDA ITEM 7

Report title: GREATER BRISTOL METRO RAIL PROJECT - FUNDING

Wards affected: Citywide

Strategic Director: Rick Palmer, Neighbourhoods & City Development

Report Author: Alistair Cox, Service Manager – City Transport

RECOMMENDATION for the Mayor’s approval:

- That approval be given to the annual investment programme required to develop the business case for the Greater Bristol Metro Rail project, as set out in table 4 of the report.

Key background / detail:

1. **Purpose of report:** To set out proposals for the delivery of the Greater Bristol Metro Rail project and detail the funding required to develop the business case for the project.
2. **Details of the proposal:**
 - a. The Greater Bristol Metro Rail Project consists of the following:
 - Phase 1 – half hourly train services for the Severn Beach line, local stations between Bristol Temple Meads, Bath Spa and Weston-super-Mare and the Portishead line reopened to passenger services
 - Phase 2 – half hourly train services to Yate and hourly services on a reopened Henbury line with additional stations at Horfield and Ashley Down.
 - b. **Delivery of the project:** To support the case for the Greater Bristol Metro we have been undertaking project development work including passenger demand forecasting, operational assessment of Metro proposals, assessment of wider regional rail linkages and Benefit Cost Ratio analysis.
 - c. **Rail Programme Timescales (Table 1):** All schemes on the rail network must be managed through Network Rail’s *Governance for Railway Investment Projects* (GRIP) process.

Tasks	Timescales
Greater Bristol Metro Phase 1: GRIP 1 - 3 (Bath Spa and Severn Beach) and GRIP 3 (Portishead refresh)	2012 - 2013
Greater Bristol Metro Phase 1: GRIP 4 Scheme Business Case and Powers to Build and Operate	Late 2012 - 2015
Greater Bristol Metro Phase 1: GRIP 5 - 8 detailed design, construction and opening	2015 – 2017/18
Greater Bristol Metro Phase 2: GRIP 1 – 4	2013 - 2018
Greater Bristol Metro Phase 2: GRIP 5 – 8	2018 - 2021
New Stations Package: GRIP 1 – 8	2015 - 2023

- d. **Costs:** Subject to the West of England Local Enterprise Partnership's Local Transport Body setting priorities in March 2013, government funding for the implementation of Greater Bristol Metro will come on stream in 2015. Metro proposals must be at a sufficiently advanced stage to start drawing down funds at this point. Considerable business case development work, funded by the West of England councils, is required ahead of this to pass through Network Rail's Governance for Railway Investment Projects (GRIP) process. The preparatory cost funding required for Greater Bristol Metro Phase 1 from each council over 2013/14 to 2015/16 is shown in Table 2. The allocation for Phase 1 is based around the level benefits (new revenue and passengers generated, infrastructure costs and route mileage) for each local authority.

Table 2: Greater Bristol Metro Phase 1 funding allocation 2012/13 to 2015/16 (£000s)

	Pre 2012/13	2012/13	2013/14	2014/15	2015/16	Total
			<i>GRIP Stages 1 to 4 (d)</i>			
B&NES	15	80 (b)	124	188	240	647
BCC	50	82 (c)	247	375	480	1,234
NSC	371	0	413	625	800	2,209
SGC	25	0	41	62	80	208
Total	461 (a)	162	825	1,250	1,600 (e)	4,298

- e. All proposed combined expenditure by Bristol City Council on phases 1 and 2 of the Greater Bristol Metro project is summarised in Table 4.

Table 4: Combined Greater Bristol Metro Phases 1 & 2 funding requirement from Bristol City Council 2012/13 to 2016/17 (£000s)

	Pre 2012/13	2012/13	2013/14	2014/15	2015/16	2016/17	Total
Phase 1	50	82	247	375	480		1,234
Phase 2			30	30	250	250	560
Combined	50	82	277	405	730	250	1,794

- f. Funding has been identified for the project for development work up to and including 2014/15. This has been allocated from the Investing In Bristol fund and from the transport revenue budget and Local Transport capital allocations. Funding required in 2015/16 and 2016/17 will be sought from future Local Transport Plan funding allocations and core revenue budgets.
- g. Financial implications: The total call on Council revenue budgets under these proposals is estimated to be £559k over the period until 2016/17, all of which would be funded from rolling budgets. The total call on Capital budgets is estimated to be £1,235,000 over the period until 2016/17, which would be funded partly (£300k) from the "Investing in Bristol" fund and partly (£935k) from Local Transport capital funds.

**BRISTOL CITY COUNCIL
CABINET
24 January 2013**

REPORT TITLE: GREATER BRISTOL METRO RAIL PROJECT - FUNDING

Ward(s) affected by this report: Citywide

**Strategic Director: Rick Palmer, Interim Strategic Director
Neighbourhoods and City Development**

Report author: Alistair Cox, Service Manager – City Transport

**Contact telephone no. 0117 92 22357
& e-mail address: alistair.cox@bristol.gov.uk**

Purpose of the report:

To set out proposals for the delivery of the Greater Bristol Metro Rail project and detail the funding required to develop the business case for the project.

RECOMMENDATION for the Mayor's approval:

- 1. Approve the annual investment programme required to develop the business case for the Greater Bristol Metro Rail project, as set out in Table 4 of this report.**

The proposal:

Background

- The West of England's vision for rail is set out in the Joint Local Transport Plan 3 (2011 – 2026). Metro aspirations are represented in the Bristol Local Plan's Core Strategy (adopted June 2011), which sets out the overall approach for planning development in Bristol. The Greater Bristol Metro Rail Project consists of the following:
 - Phase 1 – half hourly train services for the Severn Beach line, local stations between Bristol Temple Meads, Bath Spa and Weston-super-Mare and the Portishead line reopened to passenger services
 - Phase 2 – half hourly train services to Yate and hourly services on a reopened Henbury line with additional stations at Horfield and Ashley Down

Delivery of the Greater Bristol Metro

2. To support the case for the Greater Bristol Metro we have been undertaking project development work including passenger demand forecasting, operational assessment of Metro proposals, assessment of wider regional rail linkages and Benefit Cost Ratio analysis.
3. North Somerset Council will shortly be recruiting a Project Manager for Greater Bristol Metro Phase 1. The Project Manager will be responsible for developing the business case and procurement. Bristol City Council and South Gloucestershire Council are each appointing a rail officer to help develop the Greater Bristol business case.
4. A Programme Initiation Document (PID) is currently being prepared, setting out key milestones, tasks and the funding and resources required for the Greater Bristol Metro.

Programme Timescales

5. Table 1 below sets out the proposed programme timescales. All schemes on the rail network must be managed through Network Rail's *Governance for Railway Investment Projects* (GRIP) process. GRIP divides a project into eight distinct states.

Table 1: Rail Programme

Tasks	Timescales
Greater Bristol Metro Phase 1: GRIP 1 - 3 (Bath Spa and Severn Beach) and GRIP 3 (Portishead refresh)	2012 - 2013
Greater Bristol Metro Phase 1: GRIP 4 Scheme Business Case and Powers to Build and Operate	Late 2012 - 2015
Greater Bristol Metro Phase 1: GRIP 5 - 8 detailed design, construction and opening	2015 – 2017/18
Greater Bristol Metro Phase 2: GRIP 1 – 4	2013 - 2018
Greater Bristol Metro Phase 2: GRIP 5 – 8	2018 - 2021
New Stations Package: GRIP 1 – 8	2015 - 2023

Costs

6. Subject to the West of England Local Enterprise Partnership's Local Transport Body setting priorities in March 2013, government funding for the implementation of Greater Bristol Metro will come on stream in 2015. Metro proposals must be at a sufficiently advanced stage to start drawing down funds at this point. Considerable business case development work, funded by the West of England councils is required ahead of this to pass through Network Rail's Governance for Railway Investment Projects (GRIP) process.
7. The preparatory cost funding required for Greater Bristol Metro Phase 1 from each council over 2013/14 to 2015/16 is shown in Table Two. The allocation for Phase 1 is based around the level benefits (new revenue and passengers generated,

infrastructure costs and route mileage) for each local authority. The split between the councils is 50% North Somerset, 30% Bristol City, 15% Bath & North East Somerset and 5% South Gloucestershire. Expenditure to date on rail studies and the purchase of the disused former trackbed from Portbury to Portishead is also shown in Table 2.

Table 2: Greater Bristol Metro Phase 1 funding allocation 2012/13 to 2015/16
(£000s)

	Pre 2012/13	2012/13	2013/14	2014/15	2015/16	Total
			<i>GRIP Stages 1 to 4 (d)</i>			
B&NES	15	80 (b)	124	188	240	647
BCC	50	82 (c)	247	375	480	1,234
NSC	371	0	413	625	800	2,209
SGC	25	0	41	62	80	208
Total	461 (a)	162	825	1,250	1,600 (e)	4,298

Notes

- (a) Includes cost of Portishead to GRIP Stage 3, purchase of former trackbed, Halcrow West of England Area Rail Studies with Saltford, Radstock and Henbury Line
- (b) Saltford and Bathampton Junction Station Studies
- (c) Developing the business case for Greater Bristol Metro Phase 1 and wider impact (Excludes Portway Park & Ride platform development costs)
- (d) Expenditure 2013/14 to 2014/15 assumes Transport and Works Act and Public Inquiry
- (e) Includes £1.1m work on GRIP Stage 5

8. As with Phase 1, for Phase 2 the allocation of costs will reflect the different distribution of benefits. With a large part of Phase 2 lying in South Gloucestershire Council's area (Henbury line and half hourly services to Yate) they take on the major share of costs at 75%. Bristol City Council pick up 20% due to the benefits to Bristol of the Henbury line whilst North Somerset contribute 5% for improved services to Weston Milton. Proposed figures are shown in Table 3.

Table 3: Greater Bristol Metro Phase 2 funding allocation 2013/14 to 2016/17
(£000s)

	2013/14	2014/15	2015/16	2016/17	Total
	<i>GRIP Stages 1 – 3</i>		<i>GRIP Stages 4 – 5</i>		
SGC	112	113	850	850	1,925
BCC	30	30	250	250	560
NSC	8	7	0	0	15
Total	150	150	1,100	1,100	2,250

9. All proposed combined expenditure by Bristol City Council on phases 1 and 2 of the Greater Bristol Metro project is summarised in Table 4.

Table 4: Combined Greater Bristol Metro Phases 1 & 2 funding requirement from Bristol City Council 2012/13 to 2016/17
(£000s)

	Pre 2012/13	2012/13	2013/14	2014/15	2015/16	2016/17	Total
Phase 1	50	82	247	375	480		1,234
Phase 2			30	30	250	250	560
Combined	50	82	277	405	730	250	1,794

10. Funding has been identified for the project for development work up to and including 2014/15. This has been allocated from the Investing In Bristol fund and from the transport revenue budget and Local Transport capital allocations. Funding required in 2015/16 and 2016/17 will be sought from future Local Transport Plan funding allocations and core revenue budgets.
11. Following the implementation of the Metro, there is likely to be a requirement for revenue support to some services from the four West of England councils, potentially for the first three years of operation. The level of revenue support is not yet known but the Department for Transport has invited bidders for the next Great Western rail franchise to include a 'priced option' for phase one of the Metro that will, along with our development work, inform this. We expect the new franchise to be awarded towards the end of 2013.

Consultation and scrutiny input:

a. Internal consultation:

No specific consultation for this report as consultation has already been undertaken in developing the Metro proposals and will continue at key stages of its future development. This has included a successful Greater Bristol Rail web based campaign (greaterbristolrail.com), which is updated when appropriate.

Views of the Sustainable Development and Transport Scrutiny Commission have been sought in developing Metro aspirations. Views of the Commission were sought on the proposed Metro priorities prior to the West of England's submission to the Department for Transport in March 2012 (detailing Metro proposals and wider aspirations for the new Great Western Franchise). Future Scrutiny input will be sought at key stages in the development of the project.

b. External consultation:

As above in (a).

Other options considered:

None

Risk management / assessment:

FIGURE 1							
The risks associated with the implementation of the (subject) decision :							
No.	RISK Threat to achievement of the key objectives of the report	INHERENT RISK (Before controls)		RISK CONTROL MEASURES Mitigation (ie controls) and Evaluation (ie effectiveness of mitigation).	CURRENT RISK (After controls)		RISK OWNER
		Impact	Probability		Impact	Probability	
1	Costs could increase as the project develops	High	Low	Study work already undertaken to inform future costs. Close working with Network Rail throughout project development.	Low	Low	Alistair Cox
2	Aspects of the Metro become undeliverable due to changes in Network Rail work programme	Medium	Medium	Close working with Network Rail throughout project development. Upgrades to the network locally are crucial for wider Network Rail / government schemes such as electrification.	Low	Low	Alistair Cox
3	A change in priorities for an adjoining West of England council could put their funding contributions at risk	Medium	Low	Investment programme proposed in this report has been approved at a West of England level through the Joint Transport Executive Committee. City Deal signed between the Local Enterprise Partnership and government, which includes the West of England delivering the Metro.	Low	Low	Alistair Cox

FIGURE 2							
The risks associated with <u>not</u> implementing the (subject) decision:							
No.	RISK Threat to achievement of the key objectives of the report	INHERENT RISK (Before controls)		RISK CONTROL MEASURES Mitigation (ie controls) and Evaluation (ie effectiveness of mitigation).	CURRENT RISK (After controls)		RISK OWNER
		Impact	Probability		Impact	Probability	
1	Window of opportunity for unlocking government funding for the delivery of the Metro is missed, as development work would stall.	High	High	City Deal signed between Local Enterprise Partnership and government, which includes delivery of the Metro subject to the business case being sufficiently developed	Low	Low	Alistair Cox
2	Development and Implementation of the Metro is a key part of wider Joint Local Transport Plan and Bristol Local Plan objectives. Objectives such as reducing carbon emissions, supporting economic growth and supporting future development in the city could be at risk if the Metro is not delivered.	Medium	Medium	Development work set out in this report to enable the delivery of the Metro.	Low	Low	Alistair Cox
3	Full benefits of improved local rail network through electrification and associated work are not captured by maximising opportunities for enhanced local services	Medium	Medium	Development work set out in this report to enable the delivery of the Metro.	Low	Low	Alistair Cox
4	The opportunity of improving access to the Enterprise Zone could be missed	Medium	Medium	Development work set out in this report to enable the delivery of the Metro.	Low	Low	Alistair Cox

Public sector equality duties:

A screening EQiA has been completed for the Greater Bristol Metro Rail project highlighting the potential for the project to positively impact on equalities communities (see Equality Impact Assessment Form in Appendix 2).

This is only a request for funding for the necessary development work at this stage. However as the detailed proposals and implementation measures are worked up as part of the development of the business case, further detailed Step 2 EqIA's will be undertaken on the measures to be taken forward.

Eco impact assessment

The significant impacts of this proposal are;

- Long-term positive impacts: Investment in, and promotion of, public transport, walking and cycling, providing for a reduction in car journeys and associated emissions.
- Negative impacts: the use of fuels and materials for construction of capital projects, and associated production of waste.

The proposals include the following measures to mitigate the impacts;

- An Environmental Impact Assessment will be undertaken & all impacts identified will be mitigated as outlined in the EIA.

The net effects of the proposals are to be determined by the EIA, but likely to be positive.

For the full Eco-Impact Assessment, please see Appendix 1

Resource and legal implications:

a. Financial (revenue) implications:

The total call on BCC Revenue budgets under these proposals is estimated to be £559k over the period until 2016/17, all of which would be funded from rolling budgets.

Advice given by Mike Harding, Head of Management Accounting
Date 04/01/2013

b. Financial (capital) implications:

The total call on Capital budgets under these proposals is estimated to be £1,235k over the period until 2016/17, which would be funded partly (£300k) from the 'Investing in Bristol' fund and partly (£935k) from Local Transport capital funds.

Advice given by Mike Harding, Head of Management Accounting
Date 04/01/2013

c. Legal implications:

No specific legal issues arise in respect of the matters raised in this report at this stage.

Advice given by: P Malarby Senior Solicitor (Highways & Transport)

Date 03/01/13

d. Land / property implications:

None

e. Human resources implications:

There are no HR implications contained in this report.

Advice given by Chris Dagger, HR Business Partner

Date 03/01/13

Appendices:

Appendix 1 – Eco Impact Checklist

Appendix 2 – Equality Impact Assessment Form

Access to information (background papers):

None

Title of report: GREATER BRISTOL METRO RAIL PROJECT - FUNDING				
Report author: Alistair Cox				
Anticipated date of key decision: Cabinet 24 January 2012				
<p>Summary of proposals:</p> <p>The report sets out proposals for the delivery of the Greater Bristol Metro Rail project and details the funding required to develop the business case for the project. Mayor's approval is being sought for the investment programme required to develop the business case.</p> <p>The West of England's vision for rail is set out in the Joint Local Transport Plan 3 (2011 – 2026). Metro aspirations are represented in the Bristol Local Plan's Core Strategy (adopted June 2011), which sets out the overall approach for planning development in Bristol. The Greater Bristol Metro Rail Project consists of the following:</p> <ul style="list-style-type: none"> • Phase 1 – half hourly train services for the Severn Beach line, local stations between Bristol Temple Meads, Bath Spa and Weston-super-Mare and the Portishead line reopened to passenger services • Phase 2 – half hourly train services to Yate and hourly services on a reopened Henbury line with additional stations at Horfield and Ashely Down 				
Will the proposal impact on...	Yes/ No	+ive or -ive	If yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	y	+ve	<p>Enhancements to public transport will provide for a reduction in emissions.</p> <p>Increased use of the rail network also encourages walking & cycling journeys for start and end of journeys, which will provide for a reduction in emissions.</p> <p>Improved frequency of local rail services gives people confidence to switch to public transport / walking and cycling journeys, reducing reliance on the private car</p>	

		-ve	Construction and engineering of capital measures requires combustion of fossil fuels.	Much of the Metro is deliverable with minimal construction of new infrastructure. Some new stations and sections of track will be required. Network Rail will be undertaking works to facilitate electrification of the network and associated improvements. West of England councils are working closely with Network Rail to maximise opportunities to secure improvements during these works.
Bristol's vulnerability to the effects of climate change?	y	+ve	Providing for use of alternative modes of travel improves resilience.	Full flood risk assessment and inclusion of all flood and water management measures (SUDS) within the scheme. Sites will be screened by Planning Officers to identify the appropriate mitigation in relation to any impacts identified
		-ve	New & existing lines may be at risk of tidal / fluvial flooding. New & existing lines may not be robust enough to cope with extreme temperature variations, or violent storms.	
Consumption of non-renewable resources?	y	+ve	Enhancements and promotion of public transport, walking and cycling will provide for a reduction in consumption of fossil fuels.	
		-ve	Construction of new infrastructure consumes materials and fuels.	Consider environmental performance of design and materials; however it is likely that longer-term benefits will outweigh these short-term impacts.
Production, recycling or disposal of waste	y	-ve	Waste will be produced through infrastructure & engineering works.	Construction contractors will be legally obliged to prepare site waste management plans for

				projects over £300k, which detail how waste will be minimised, and recycling promoted.
The appearance of the city?	y	+ve	Much of the enhancement works will be within the existing rail network so will not impact on the appearance of the city. New station facilities will have a positive impact.	A Full Environmental Impact Assessment of all effects and appropriate landscape mitigation should be included in the scheme in consultation with BCC Urban Design team (if appropriate).
Pollution to land, water, or air?	y	+ve	In terms of promoting sustainable travel and reducing car trips, the metro is predicted to deliver a small improvement in local air quality, though this is not quantifiable.	
		-ve	It's likely that any engineering & construction works will create noise and dust. There is also the possibility of accidental releases of fuels and chemicals to land or water.	Contractors will be required to submit method statements, detailing how they will manage site-based environmental risks & comply with all appropriate pollution prevention guidance & legislation.
Wildlife and habitats?	y	-ve	Development of infrastructure not already in operational rail use may harm wildlife & habitats.	The EIA process will identify impacts and with the advice of the Council's natural environment team, mitigation measures will be implemented as recommended in the SEA. There should be no net loss to biodiversity/ habitats and opportunities for enhancement should be explored.

Consulted with: Tanya Saker, Sustainable City & Climate Change Service

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

The significant impacts of this proposal are....

- Long-term positive impacts: Investment in, and promotion of, public transport, walking and cycling, providing for a reduction in car journeys and associated emissions.
- Negative impacts: the use of fuels and materials for construction of capital projects, and associated production of waste.

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

- An Environmental Impact Assessment will be undertaken & all impacts identified will be mitigated as outlined in the EIA.
- The net effects of the proposals are to be determined by the EIA, but likely to be positive.

Checklist completed by:

Name:	Andrew Davies
Dept.:	Neighbourhoods and City Development
Extension:	X36539
Date:	24 December 2012
Verified by Sustainable City Group	Monday 7 th January 2013



Bristol City Council Equality Impact Assessment Form

Greater Bristol Metro Rail Project - Funding for Business Case Development

Directorate and Service: Neighbourhood and City Development

Lead Officer: Alistair Cox, Service Manager, City Transport

Additional people completing the form: Ed Minihane, Team Manager, City Transport

Start date for EqlA: 27th December 2012

Estimated completion date: 2015 (when scheme implementation will begin, if business case development work is successful)

Step 1 – Use the following checklist to consider whether the proposal requires an EqIA

1. What is the purpose of the proposal?
Please summarise what is planned.

Approval of the annual investment programme required to develop the business case for the Greater Bristol Metro Rail Project. In order to draw down the necessary funding for the implementation of the project (commencing 2015), the Metro proposals must be at a sufficiently advanced stage at this point. Considerable business case development work, funded by the West of England councils is required ahead of this to pass through Network Rail's Governance for Railway Investment Projects (GRIP) process.

The Greater Bristol Metro Rail Project itself will significantly enhance local services across Bristol including the following:

- Phase 1 – half hourly train services for the Severn Beach line, local stations between Bristol Temple Meads, Bath Spa and Weston-super-Mare and the Portishead line reopened to passenger services
- Phase 2 – half hourly train services to Yate and hourly services on a reopened Henbury line with additional stations at Horfield and Ashely Down

2. Could this be relevant to our public sector equality duty to:	High	Medium	Low
a) Promote equality of opportunity	Yes		
b) Eliminate discrimination	Yes		
c) Promote good relations between different equalities communities?		Yes	
If you have answered 'low' to question 2, please describe your reasons			
3. Could the proposal have a positive effect on equalities communities?	Yes		
<p>Please describe your initial thoughts as to the proposal's positive impact.</p> <p>The key aims of the Greater Bristol Metro Rail Project are to invest in sustainable transport measures (Local Rail Services) to support local economic growth and reduce carbon emissions, In so doing this will assist with accessibility for all groups, but in terms of improving public transport, and access to jobs and facilities for those without a car, will positively impact on equalities communities.</p> <p>In terms of improving public transport, and reducing congestion, if the business case work is successful, the project as implemented will have the following potential positive impacts on particular equalities communities:-</p> <p>Age: Quality of Life (QoL) survey data shows that the percentages of people aged over 50 who use public transport, particularly for access to employment and healthcare are higher than the average for the total population. Improvements to public transport will positively benefit this group.</p>			

Disability:

Quality of Life survey data shows that the percentage of people with disabilities travelling to work by public transport is higher than the average for the total population. This is understandable as some disabilities may mean that some disabled people are unable to drive a car. Improvements to public transport will in general positively benefit this group.

Quality of Life data also shows that people with disabilities view congestion as more of a problem than the average citywide. Reducing the impacts of congestion will positively benefit this group.

Ethnicity:

Quality of Life survey data shows that the percentage of people travelling to work by public transport is highest amongst BME people. Improvements to public transport will positively benefit this group

Gender:

Quality of Life survey data shows that the percentage of females who travel to work by public transport is higher than the average for the total population. Improvements to public transport will positively benefit this group.

4. Could the proposal have a negative effect on equalities communities?

Yes

Please describe your initial thoughts as to the proposal's negative impact

Disability:

There is the risk that not all the benefits to rail services implemented through the Greater Bristol Metro will accrue for people with disabilities. This EqIA does flag up the need to look closely at the potential for further accessibility enhancements for stations and infrastructure as part of the Greater Bristol Metro. This work should be looked at as part of the business case development to try to ensure that disabled people receive the maximum benefit from this project.

Some of the areas that need to be considered are as follows:

- The negative impacts with reference to the accessibility measures that need to be embedded within the project and in the implementation stages of the service.
- Will the trains on these routes be fully accessible.
- Accessibility of the existing stations and the ones that maybe reopened need to be considered during the process and embedded within the business plan.
- General awareness with reference to any assistance that might be needed by disabled people at the different locations and a clear understanding of how this will not only be embedded in the project but also in the implementation stage.

This proposal is for the approval of funding to carry out the necessary business case development work on the Greater Bristol Metro Rail Project. If successful, and implemented as planned with commencement in 2015, it will have the potential to positively impact on equalities communities. This is only a request for funding for the necessary development work at this stage. However as the detailed proposals and implementation measures are worked up as part of the business case, further detailed equalities work will need to be undertaken on the measures to be taken forward.

Signed: Peter Mann

Service Director Transport

Date: 10th January 2013

Signed: Jane Hamill

Equalities Adviser

Date: 10th January 2013



MetroWest

MetroWest Phase 2 OUTLINE BUSINESS CASE

Executive Summary

travelwest 

Bath & North East Somerset, Bristol, North Somerset and South Gloucestershire
councils working together to improve your local transport

March 2019

Page 139

Executive Summary

The West of England (WoE) councils are progressing plans to invest in the local rail network over the next ten years through the MetroWest programme. The MetroWest programme comprises:

- The MetroWest Phase 1 project;
- The MetroWest Phase 2 project;
- A range of station re-opening/new station projects; and
- Smaller scale enhancement projects.

MetroWest is being jointly promoted and developed by the West of England Combined Authority (WECA), Bath & North-East Somerset Council (B&NES), Bristol City Council (BCC), South Gloucestershire Council (SGC), and North Somerset Council (NSC). The MetroWest programme will address the core issue of transport network resilience, through targeted investment to increase both the capacity and accessibility of the local rail network. The MetroWest concept is to deliver an enhanced local rail offer for the sub-region comprising:

- Existing and disused rail corridors feeding into Bristol;
- Increasing service frequency; cross-Bristol service patterns (e.g. Bath to Severn Beach) and to Yate.
- Up to five new stations bringing more people within a 1 km catchment of a rail station.

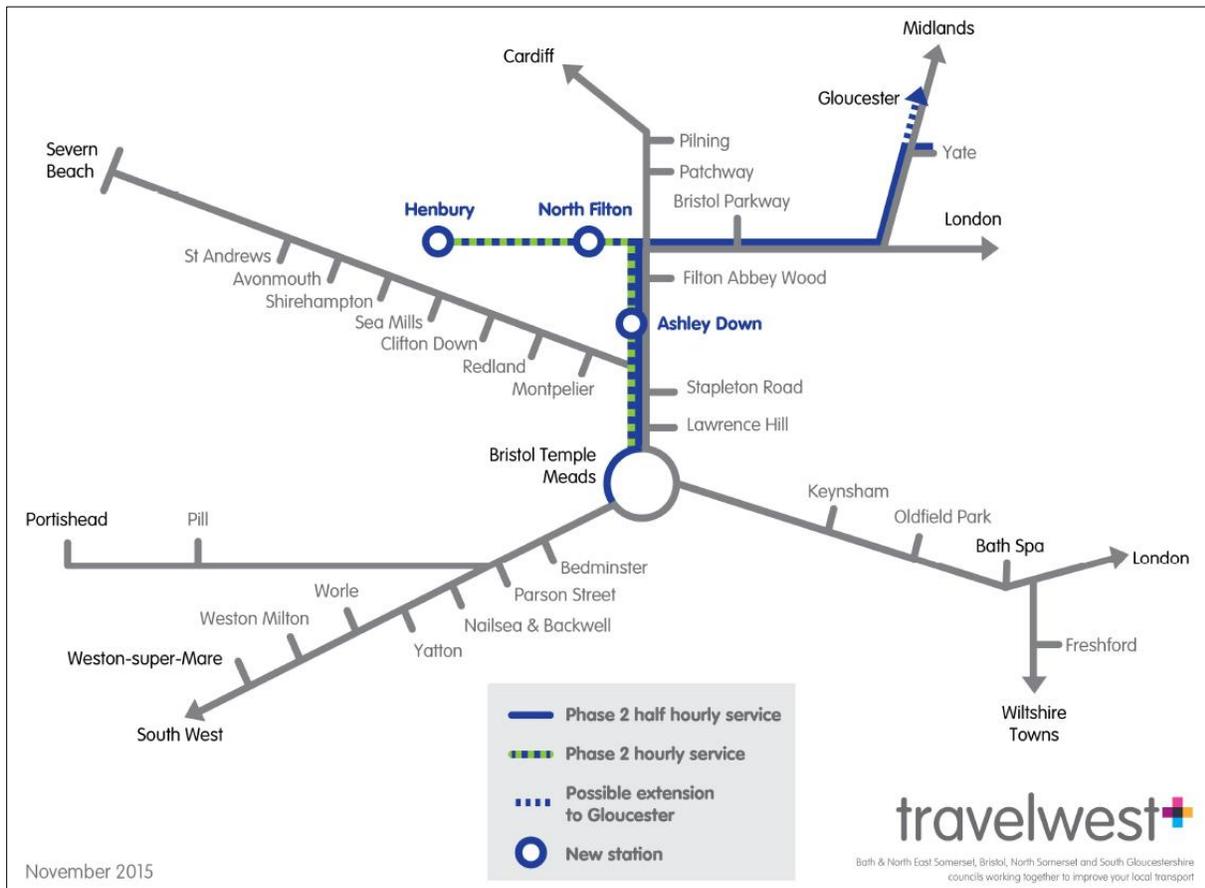
The MetroWest programme builds on and will complement the investment being made by Network Rail (NR) which has been significant and impactful in the last few years including:

- The four tracking of Filton Bank;
- Bristol area re-signalling
- Longer platforms to provide more capacity for passengers;
- New platforms at Filton Abbey Wood and Bristol Parkway stations;
- Electrification of the route from Paddington to Bristol Parkway

This has been complimented by the introduction of trains which are longer and have more seats than previously and which are faster and quieter than previous rolling stock, particularly in electric mode. Towards the beginning of 2020 new timetables will provide faster and more frequent journeys between Bristol and London and lead to reliability improvements in the WoE area.

The MetroWest programme is to be delivered in stages over the next five to ten years. The MetroWest Phase 2 scheme focuses on increasing the frequency of rail services from Bristol to Yate. This would provide a half-hourly service along the Bristol Parkway to Gloucester line with a possible extension to Gloucester in the future. The construction of new rail stations at Ashley Down, North Filton and Henbury, and the re-opening of the Henbury rail line to passenger services which will run on an hourly basis. The new train services will also serve 6 existing stations.

The MetroWest Phase 2 Network



Key benefits of the scheme are:

- Supporting economic growth. MetroWest Phase 2 is part of a wider transport offering to accommodate planned and committed business and residential growth throughout the region. The MetroWest Phase 2 scheme is assumed to be in place before Joint Spatial Plan (JSP) growth. The scheme will support and facilitate this planned growth.
- Improved accessibility and enhanced carrying capacity of the local rail network by providing new stations and services.
- Delivery of a more resilient transport offer. MetroWest Phase 2 results in increased demand to use the local railway network (580,000 passengers per annum at the new stations by 2036). This demand demonstrates the need for additional transport choices in the area.
- A positive contribution to social well-being. The scheme combats high car dependency which can result in inactive lifestyles which pose a major threat to public health.
- Reduction of highway congestion as demonstrated by the high level of highway user benefits.
- The reduction of some adverse environmental impacts on the local transport network as a whole by reducing car use and providing a more sustainable travel option.

Financial case

The MetroWest Phase 2 scheme is affordable as the scheme can be funded through allocated Local Growth Funding, South Gloucestershire Council and Bristol City Council funding, Devolved Major Scheme Funding, WECA Investment Fund and S106 funding.

The MetroWest Phase 2 scheme capital costs are £48,225,000 and the revenue costs from 2021 to 2024 are £5,938,000.

Economic case

The scheme offers a significant level of rail transport user benefits equating to £31.4 million of commuting benefits and £22.0 million of other user benefits.

The scheme also provides a high level of highway transport user benefits equating to £3.9 million of commuting benefits and £10.1 million of other user benefits. These benefits are due to reduced congestion on the roads as individuals transferred their journeys to rail.

The scheme generates Wider Economic Impacts of £27.2 million and regeneration benefits associated with new jobs.

There are likely to be slight to moderate adverse impacts on noise, with existing receptors experiencing an increase in noise despite being already exposed to some level of noise associated with road and rail transport.

In addition, the scheme will have a moderately beneficial impact on greenhouse gases due to rail being more energy efficient than road transport and gives rise to less pollution per passenger kilometre than road transport.

Landscape is expected to be slight to moderately impacted by the scheme due to the clearance of vegetation and the Yate turn-back.

The impact of the scheme on water environment is likely to be moderate to large adverse. This is due to the proposed site for the new station at Henbury being located entirely within Flood Zone 3, and therefore requiring a specific Flood Risk Assessment and mitigation measures in order to ensure the station does not increase flood risk.

The MetroWest Phase 2 scheme offers a Net Present Value of £14.12 million / £65.87 million and currently provides a Benefit to Cost Ratio of 1.88 when adjusted to include wider impacts (with an initial Benefit to Cost Ratio of 1.19). The scheme is considered to offer Moderate Value for Money.

However, there are a number of factors that could improve the Benefit to Cost Ratio. These include considering the demand from other developments within the area, for example the proposed Bristol Arena, as well as better aligning the MetroWest Phase 2 scheme programme with the Cribbs Patchway New Neighbourhood (CPNN) programme. In addition, consideration of the growth that will be produced by the Joint Spatial Plan (JSP) schemes will further enhance the BCR. Further assessment of the BCR will be undertaken as part of the Full Business Case (FBC).

Commercial case

The MetroWest Phase 2 commercial case includes 4 main elements of procurement:

- Professional services pre-construction. Scheme preparation works will be undertaken using in-house resources, framework consultants and Network Rail. Additional legal, land and property support will be procured through a standard procurement process led by SGC Legal and Property teams.

- Railway construction works. Scheme track-side construction will be led by Network Rail and delivered through a Design and Build contract.
- Non-trackside construction works. Non track-side work will be undertaken by Network Rail, local developers, council in-house resources or framework contractors depending on the station.
- Train operator service. DfT Rail, the Train Operating Company (TOC) and the next base Great Western franchise specification will be used to procure train services.

Management Case

The MetroWest Phase 2 scheme benefits from a strong governance structure comprising of local government, Network Rail and train operating company staff. The project programme is considered achievable and includes the following milestones:

- GRIP5 Detail Design (final signalling design) - Dec 2019
- Full Business Case Approval - Jan 2020
- GRIP 6 Construction Start - Dec 2020
- Operation - Dec 2021

The main risks within the project are:

- The upgrade of Bristol East Junction is delayed or funding is not available resulting in the inability to provide Henbury Line Services adding significant cost and delay to programme.
- Delays in obtaining appropriate consents to progress the project.
- Issues which could impact on programme / cost particularly in relation to:
 - a. Access / drainage issues in relation to Henbury
 - b. Decision on location of Bristol Arena in relation to North Filton and potential access issues if build out rate for the development is slower than predicted
- Managing the interface between NR / SGC and third parties
- Increasing freight demand or train paths not being available which may restrict capacity of passenger services

THIS LICENCE is made the 4th day of February 2009 BETWEEN

SUSTRANS LIMITED whose registered office is at 2 Cathedral Square College Green Bristol BS1 5DD ("the Licensor") of the one part and BRISTOL CITY COUNCIL of the Council House College Green BS1 5TR ("the Licensee") of the other part

1. RECITALS

- 1.1 The Licensor owns land east of Station Road Ashley Hill Bristol registered with title number BL53609 ("the Land") shown edged red on the annexed plan ("the Plan") over part of which the Licensee wishes to construct a shared use path ("the Path") on land which includes the Land in accordance with drawings numbers DC0438-100-A DC 0438-150 DC0438-154 DC0438-156 and 14089/SK2A annexed to this Licence ("the Drawings")
- 1.2 The Licensor has agreed to grant a Licence to the Licensee to enable it to carry out work to construct and thereafter use the Path

2. GRANT OF LICENCE

In consideration of the Licensee's covenants contained in Clause 3 the Licensor grants to the Licensee:-

- 2.1 permission to construct the Path on part of the Land in accordance with the Drawings
- 2.2 subject to giving not less than 14 days notice in writing of the detail of the proposed works and method of working and to the approval of the Licensor thereto (except in case of emergency) (such approval not to be unreasonably withheld or delayed) permission to go onto any part of the Land owned by the Licensor which is not required for the Path to enable the Licensee to construct and maintain the Path and comply

with the covenants set out in Clause 3 the Licensee making good any damage caused as soon as practicable

- 2.3 Permission to use the Path as a shared cycle and pedestrian path together with vehicles used to construct and maintain it
- 2.4 permission to erect waymarks or notices on the Path the wording of such notices or waymarks to be first agreed between the parties (taking into account the house style of the Licensor

3. **AGREEMENTS BY THE LICENSEE**

The Licensee agrees with the Licensor:-

- 3.1 to construct the Path in a good and workmanlike manner and in accordance with the Drawings referred to in Clause 2.1
- 3.2 to obtain all necessary consents and approvals for the intended construction and use of the Path and to comply with the attached Method Statements MS001 MS002 Safety Plan dated 14th January 2009 and Method Statement - Laying Surfacing
- 3.3 to maintain the Path and other works (including any new or existing fencing on the Land) in a good state of repair
- 3.4 to indemnify the Licensor against all actions claims damages costs and expenses whatsoever ("the liabilities") arising:-
 - 3.4.1 from the design construction maintenance and use of the Path
 - 3.4.2 as a result of any failure by the Licensee to comply with the terms of the Demarcation Agreement dated 29th February 1996 and the Conveyance dated 24th March 1997 referred to in the Registers of title number BL53609 and to pay all costs charged under the terms of the Demarcation Agreement and any other costs incurred

3.4.3 from any failure by the Licensee to comply with any statutes or regulations which relate to the design construction use and maintenance of the Path

unless such liabilities have arisen as a result of any negligence by the Licensor and to insure with a reputable insurance company against public liability risks with a limit of indemnity of not less than £5,000,000 for any one event and to produce on request a copy of the policy and receipt for premiums due and paid

3.5 at the written request of the Licensor to enforce the terms of any construction contracts entered into by the Licensee in connection with the construction of the Path

4. **DECLARATIONS**

The parties declare:-

4.1 that nothing in this Licence shall be construed as granting to any person or body of persons any rights other than those expressly granted by this Licence or as granting any estate or interest in land

4.2 that this Licence may be determined :-

4.2.1 at any time by the Licensor giving to the Licensee three months' written notice at the Licensor's then current registered office address specified herein or as notified in writing by the Licensee to the Licensor

4.2.2 immediately by the Licensor if Network Rail serves notice on the Licensor requiring the construction work or use to be stopped

AS WITNESS the hands of the duly authorised agents of the parties on the date first above written

SIGNED by

SWAN OTTY

on behalf of SUSTRANS LIMITED

in the presence of



JESSICA HICKS.
2 ROZA ROAD, BRISTOL, BS7 8SP.



SIGNED by

CS KENNEDY

on behalf of

BRISTOL CITY COUNCIL

in the presence of



John Ray



H.M. LAND REGISTRY

TITLE NUMBER

BL 53609

ORDNANCE SURVEY
PLAN REFERENCE ©

COUNTY SHEET

NATIONAL GRID SECTION

ST 6075

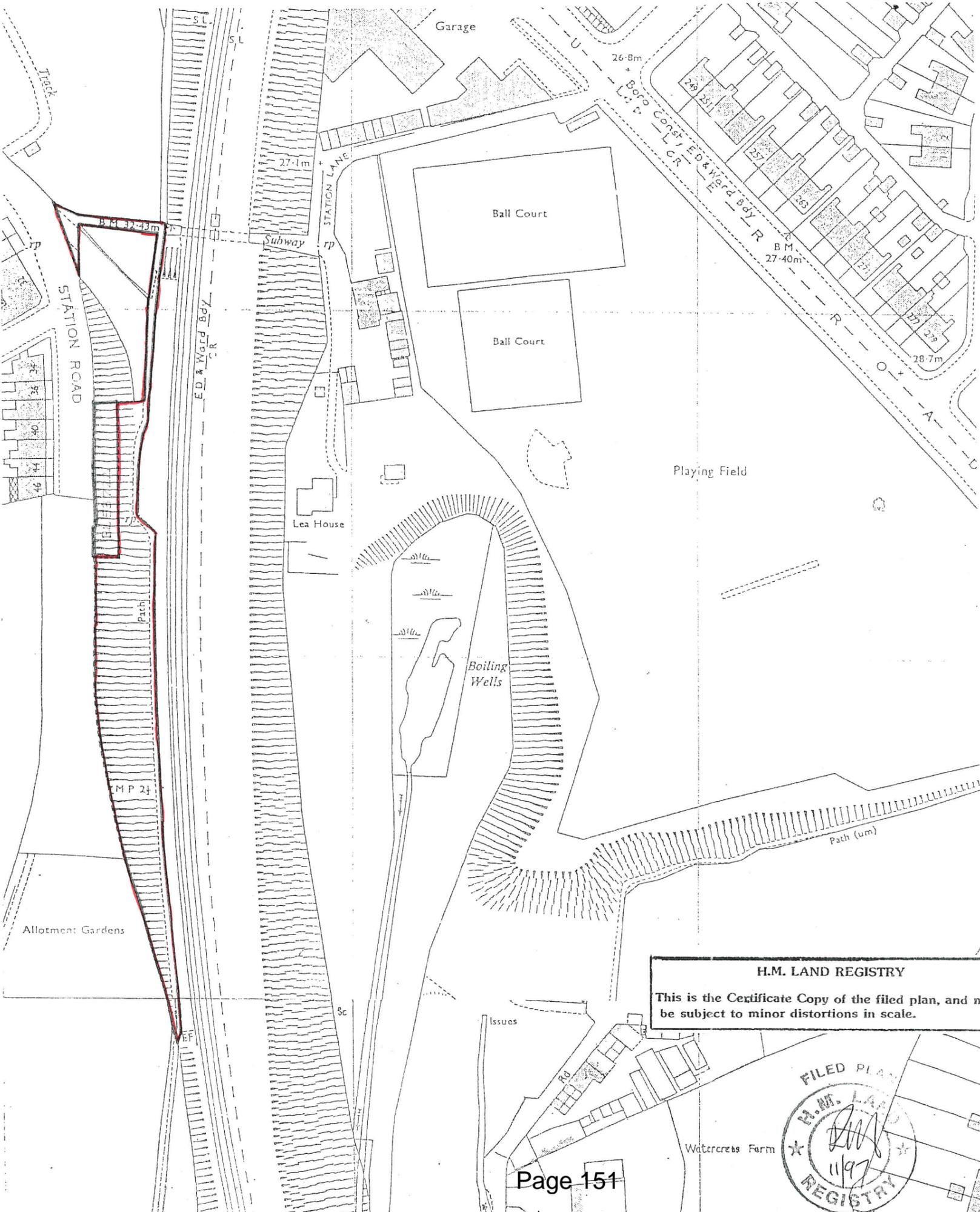
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ADMINISTRATIVE AREA CITY OF BRISTOL

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DISTRICT LAND REGISTRY

DA
1187A



H.M. LAND REGISTRY
This is the Certificate Copy of the filed plan, and may be subject to minor distortions in scale.



Plan Ordnance
FILE REF

DATED. *Do not date* 2017

INITIAL PROMOTION AGREEMENT

Relating to MetroWest
(Phase 2)

between

SOUTH GLOUCESTERSHIRE DISTRICT COUNCIL (1)

and

BRISTOL CITY COUNCIL (2)

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ANNEX

Annex	JWA
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THIS AGREEMENT is dated

Do not date

2017

AUTHORITIES

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

- (1) **SOUTH GLOUCESTERSHIRE DISTRICT COUNCIL** of Council Offices, Badminton Road, Nibley, South Gloucestershire (“SGDC”)
- (2) **BRISTOL CITY COUNCIL** of City Hall, College Green, Bristol, BS1 5TR (“BCC”).

Together referred to as “The Authorities”.

1. BACKGROUND

- 1.1 The Authorities have entered into 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.

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.

- 1.2 In accordance with the stated aims of the JWA, the Authorities have agreed to work together on the project (“the Project”) as outlined in this paragraph:

- (a) MetroWest Phase 2 Project is a joint cross boundary project to re-commence passenger train services on the Henbury Line with up to two new stations, together with a new station on Filton Bank and to provide enhanced half-hourly passenger train services at Yate.
- (b) The Project will be second 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, 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 WoE Local Transport Body Board, prior to final sign off of funding.

1.3 The purpose of this Initial Working Agreement is to set out the working arrangements between the Authorities for the initial stage of the Project from inception up to the approval of the outline business case by the LTB (“Initial Stage”).

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

- (a) the key objectives of the 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 Initial Stage.

1.5 On or before the completion of the 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"	That Authority appointed to act as such in accordance with Clause 7 of the JWA being initially South Gloucestershire District Council or such other of the Authorities as appointed from time to time in accordance with Clause 10
"Agreement"	This agreement
"Commencement Date"	The date of this Agreement
"Constitution"	The Constitution of the JTEC
"DfT"	Department for Transport
"Expiry Date"	90 days from and including the date of issue of the outline business case report unless earlier terminated by the Parties in accordance with Clause 3

“The JWA”	Means the Joint Working Agreement for the creation of the LTB dated 12 March 2013 made between BANES, BCC, NSDC and SGDC and included with this Agreement at Appendix 1.
The JTEC	The Joint Transport Executive Committee of BANES, BCC, NSDC and SGDC established under the Constitution
“The Initial Stage”	The Initial Stage of the Project shall mean for the purposes of this Agreement, GRIP3, the full business case and related activities from inception to the approval of the full business case by the LTB
“Laws”	<p>Means:-</p> <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
“Lead Authority”	South Gloucestershire District Council or such other of the Authorities as appointed from time to time in accordance with Clause 9
“LTB”	The Local Transport Body as more particularly described in the JWA
“LTB Board”	The Board of the LTB

“MetroWest Programme”	MetroWest Phase 1, MetroWest Phase 2 and a range of new station/station re-opening projects.
“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
“Project”	is defined in clause 1.2 .
“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 Rail Programme Board in accordance with clause 8.2 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 Alistair Rice 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

“Rail Programme Board”	The Rail Programme Board established for this and other projects in accordance with clause 8
“Senior Responsible Officer”	Janet Kings 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.
“Standard Proportions”	The proportions, contributions and liability splits agreed and set out in Clause 14.2
“The Train Services”	The provision of a functioning passenger train services along the MetroWest Programme Phase 2 routes.

- 2.2 Anything defined in the JWA or 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 extends or replaces this Agreement, or
- (c) The Authorities agree and confirm in writing that the Project is abandoned or terminated; or
- (d) The Expiry Date.

3.2 If the JWA expires or is terminated before this Agreement it shall nevertheless continue to be used so far as may be necessary or convenient to determine the rights and obligations of the Authorities under this Agreement to extent that they are not determined by this Agreement.

4. KEY OBJECTIVES FOR THE INITIAL STAGE OF THE PROJECT

4.1 The Authorities shall undertake the Initial Stage of the Project to achieve the key objectives up to the end of the Initial Stage.

5. PRINCIPLES OF COLLABORATION

In addition to the General Principles as defined in **clause 3 of the JWA**, the Authorities agree to adopt the following principles when carrying out the 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 Local Transport Body and any other available source in respect of the Project; and
- (k) act in good faith to support achievement of the Key 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 Initial Stage of the Project.

6.2 Guiding principles

The following guiding principles are agreed. The 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. LTB BOARD AND THE JTEC

7.1 The LTB Board provides overall strategic oversight and direction to the Project. The LTB Board shall decide of the allocation of devolved DfT capital funding. However, for the avoidance of doubt, the LTB Board shall not decide revenue liabilities arising from the Project, this shall remain the responsibility of the JTEC.

7.2 The JTEC shall 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 LTB Board shall be managed in accordance with the terms of reference set out in the JWA (a copy of which is attached to this Agreement). The JTEC shall be managed in accordance with the terms of reference set out in the Constitution.

8. RAIL PROGRAMME BOARD

8.1 The LTB has appointed a Rail Programme Board to manage inter alia the Project and to provide strategic management at Project and work stream level. It will provide report to and provide assurance to the LTB Board that the Key Objectives are being met and that the Project is performing within the boundaries set by the LTB Board.

8.2 The Rail Programme Board consists of board members and representatives from each of the Authorities and a representative from WEPO and the Programme Section 151 Officer augmented by specialists from related areas. Key decision making will be made by Rail Programme Board members only each of whom has voting rights. The Rail Programme Board shall have responsibility for:

- (a) Appointments such as the appointment of the 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 Rail Programme Board.

9. LEAD AUTHORITY

9.1 The Authorities (acting jointly) appoint, with effect from the Commencement Date, SGDC 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 SGDC 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 Rail Programme Board.

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 Rail Programme Board 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 SGDC has been appointed by the Authorities and has agreed with the Department for Transport to act as the Accountable Body for the purposes of devolved major scheme funding in accordance with **clause 7 of the JWA** 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 Initial Stage of the Project and work streams. It will provide assurance to the Rail Programme Board that the Project is being delivered within the boundaries set by the Rail Programme Board.

11.2 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 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 Senior Responsible Officer in accordance with **clause 11.6**.

11.3 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 Senior Responsible Officer 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.

11.4 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 Rail Programme Board (“the Approved Budget”);
- (b) The Project Section 151 Officer shall with the approval of the Rail Programme Board submit all financial claims to the Local Transport Body and any other funders on behalf of both Authorities;

11.5 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, the JWA or the budgeted expenditure for the

Project as confirmed by the Programme Section 151 Officer shall be referred to the LTB.

- 11.6 The Project Section 151 Officer shall prepare and submit to the Authorities an invoice of each of the relevant Authority's 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 Rail Programme Board.

Powers Outside the Scope of the Project Team

- 11.7 Neither the Rail Programme Board, the Project Team nor the LTB Board 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.
- 11.8 The Project Team will endeavour to make decisions by consensus. Where this is not possible if the representatives of the two Authorities are in agreement with each other they may decide matters on their own.
- 11.9 The Project Team shall ultimately report to LTB Board (in respect of devolved DfT capital funding) and in the event that the representatives of the Project Team do not agree with each other they will refer it to Rail Programme Board for decision and if the Authorities are not satisfied with such decision any Authority may refer the matter to the LTB Board 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**.
- 11.10 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.
- (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 Senior Responsible Officer 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 or the JWA.

13. PROMOTING THE PROJECT

13.1 The Authorities will jointly to 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 Initial Stage of the Project.

14.2 Notwithstanding **clause 14.1** above, the Authorities' financial liabilities under the Initial Stage of the Project agreements during the term of this Agreement will be apportioned between the Councils as follows:

- (a) 22% of all such liabilities shall be borne by BCC; and
- (b) 78% shall be borne by SDGC.

14.3 The Authorities agree that 1st April 2013 shall be known as "the Project Cost Baseline Date" 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 the costs shall be shared as defined in **clause 14.2**

14.4 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.

14.5 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 11.3(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 Rail Programme Board and not binding until so ratified.
- 15.4 Subject to any authorisation required from the Authorities the Rail Programme Board 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 LTB (“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 JTEC or any Local Transport Improvement 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 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 LTB Board save in relation to disputes relating to revenue matters which shall be referred to JTEC)
 - (c) In the event of the LTB Board (or as appropriate, JTEC) failing to resolve the matter to a meeting of the Leaders of the four Authorities participating in the LTB.
- 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 Senior Responsible Officer 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 LTB 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 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 Subject to **clause 3.2** above 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

33 Rights of Third Parties

Nothing in this Agreement confers or is intended to confer any rights on any third parties or any benefit or right to enforce any of its terms pursuant to the Contracts (Rights of Third Parties) Act 1999.

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

Signature:

Chris Sane

Name:

CHRIS SANE

Position:

HEAD OF TRANSPORT & STRATEGIC PROJECTS

Date:

28/3/17

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

Signature:

P Mann

Name:

PETER MANN

Position:

SERVICE DIRECTOR, TRANSPORT

Date:

24.2.17

Appendix 1

Bath and North East Somerset Council

And

Bristol City Council

And

North East Somerset Council

And

South Gloucestershire Council

And

The Local Enterprise Partnership

Joint Working Agreement

For the Creation of a

Local Transport Body

1 Interpretation

- 1.1 In this Agreement unless the context otherwise requires the following expressions have the following meanings –

“The Agreement” means this Agreement comprising the terms and conditions together with the Schedules hereto.

“The Accountable Body” means the body taking on the responsibilities set out in clause 7.

“The Commencement Date” means the date on which this Agreement is executed by the parties.

“The Constitution” means the constitution of the Board of Local Transport Body as set out in Schedule A to this Agreement.

“The Local Transport Body” or **“LTB”** means the Local Transport Body established by the parties in accordance with the Constitution.

“The LTB Board” or **“Board”** means the representatives of the parties appointed to the LTB.

“The Parties” means B&NES, Bristol, SGC and NS and the LEP

“Priority Programme” means the programme of schemes developed by the LTB in accordance with this Agreement and with schemes ranked in accordance with their strategic fit and deliverability.

Programme Assurance Board means the board established by the local authority parties to oversee the major schemes programme for the West of England

“West of England” means the combined areas of the four local authority parties.

- 1.2 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.
- 1.3 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.
- 1.4 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.
- 1.5 The Clause and paragraph headings and titles appearing in this Agreement are for reference only and shall not affect its construction or interpretation.

2 Term

This Agreement shall come into effect on the Commencement Date and shall continue in force until such time as the DfT devolved funding arrangements cease or the parties otherwise agree, unless terminated earlier in accordance with its terms.

3 General Principles

- 3.1 This Agreement has been entered into by the parties to establish a Local Transport Body to act through a Board comprising representatives of each of the parties.
- 3.2 The Parties will work together in good faith and in an open, co-operative and collaborative manner for the duration of this Agreement. The parties' members and officers will work together in the spirit of mutual trust in order to endeavour to procure the successful implementation of the LTB objectives and will respond in a timely manner to all relevant requests from other parties.
- 3.3 The Parties will work together to ensure that the funding received from the Department for Transport is devoted to the local transport improvement schemes to address the present and anticipated local transport needs of the West of England, agreed through an evidence based prioritisation process, and that such funds are directed at specified major transport schemes and only used by any of the Authorities for specified schemes
- 3.4 It is proposed that meetings of the LTB Board would be aligned with the quarterly programme of meetings of JTEC. LTB Board meetings would be held in public providing an open forum for debate and decision making and would comply with the principles set out in Annex A (Right of members of Constituent Bodies) and Annex B (Public Participation) of the 2009 Agreement.
- 3.5 The existing Joint Scrutiny Committee, established by the local authority parties for scrutinising West of England initiatives will apply to the LTB.
- 3.6 All LTB Board papers, technical reports which support decision making and scheme business cases will be made publicly available, including through publication on the LEP website.
- 3.7 The LTB Board will be able to draw on the existing well-established joint arrangements for the provision of administrative support and professional advice to JTEC. This will include maintaining the official record of proceedings and a schedule of decisions.
- 3.8 Clear policies on conflict of interest and hospitality will be adopted by the Board.
- 3.9 The parties and the Board shall comply with the The Code of Recommended Parctice for Local Authorities on Data Transparency.
- 3.10 Costs associated with the LTB, (including all administrative and secretarial support) and any costs properly and reasonably incurred by any member of the LTB on behalf of the LTB (having been approved beforehand by the LTB), shall be shared equally between the parties.

4 Status of this Agreement

- 4.1 The Parties agree that this Agreement shall take the form of a legally binding contractual relationship and mutual commitments between them created by this Agreement shall from the date hereof be construed accordingly.

5 The Local Transport Body - Representation

- 5.1 The Parties agree to act as a Local Transport Body and to constitute the Board of the Local Transport Body to discharge its functions on the terms set out in the Constitution.
- 5.2 In appointing representatives to the Board of the Local Transport Body, each local authority will unless there are over-riding reasons to the contrary, appoint as its primary representative the member of the Executive of that Authority who has portfolio responsibility for local transport functions within that Authority or, as the case may be, Chair of the relevant Committee. The LEP shall appoint, so far as possible, business representatives who are not elected representatives of a local authority.
- 5.3 Insofar as any representative requires authority from his/her appointing body to attend and take part in the meetings of the LTB Board and in any making decisions required of the LTB Board (falling within the provisions of clause 5 hereof), the relevant appointing body hereby confirms that it has delegated all such powers to its representative or otherwise authorised such action.
- 5.4 The Parties agree to keep the membership of the LTB under review and to consider from time to time the addition of other bodies or organisations which may contribute to the achievement of the aims and objectives of the LTB. Any changes to the membership or constitution shall only be by the written agreement of all the parties.

6 Functions of the Local Transport Body

- 6.1 The functions of the Local Transport Body (to be discharged by its Board) shall include the following:
- Identify and approve a prioritised list of investments within the available devolved major schemes budget.
 - Scrutiny of individual scheme business cases to ensure they provide evidence of achieving "high value for money".
 - Make decisions on individual scheme approval.
 - Release of funding for approved schemes.
 - Approve the assurance framework
 - Monitor progress of approved scheme delivery and spend including reviewing the programme risks and its risk mitigation measures.
 - Make such returns and provide such information as required by the DfT.
 - Secure the co-operation of the Parties.
 - Active management of the DfT grant to respond to changed circumstances.
 - Take on additional transport related functions agreed by the Parties.
 - Administer additional transport funds from third parties.

7 Accountable Body

- 7.1 The Parties shall agree, from time to time, to one of their number being the Accountable Body with the responsibilities set out in this Agreement.

- 7.2 The Accountable Body will hold and administer funds on behalf of the LTB, ensure decisions of the LTB comply with financial, legal and other regulations and requirements, be responsible for funding claims, making payments and for regular independent audit of the assurance framework and providing monitoring updates to the DfT and the Local Transport Body (as required) and ensuring that funds are only directed at approved major transport schemes, and the following;
- a) ensuring (through its S151 Officer) that funds are used appropriately
 - b) ensuring the assurance framework is adhered to
 - c) maintaining the official record of the LTB's proceedings and holding LTB documents
 - d) being responsible for LTB decisions (including dealing with challenges)
- 7.3 The Accountable Body will be responsible for ensuring adherence to the agreed LTB assurance framework, and that all decisions are made within the adopted governance and decision making process and that the relevant accounts are subject to regular audit independent of the Authority promoting the Scheme..
- 7.4 Any DfT grant conditions will need to be complied with and the Accountable Body will have responsibilities to ensure these are monitored and adhered to. This may include specific audit and reporting requirements with appropriate resourcing implications.
- 7.5 All funding held by the Accountable Body will be invested for treasury management purposes in accordance with the Accountable Body's Treasury Strategy. No liability will be held by the Accountable Body for capital loss resulting from temporary investment counterparty failure.
- 7.6 The Accountable Body will require resources to undertake its duties. This will include but not be limited to: -
- Direct staffing costs (financial and administration)
 - Specialist advice particularly financial and legal
 - Allocation of overheads e.g. systems, IT, telecoms, HR etc.
 - Transaction charges e.g. bank fees, payment fees etc.
 - Statutory costs as appropriate e.g. audit fees, taxes
 - Ensuring compliance with governance and decision making arrangements
- 7.7 The Accountable Body's cost reasonably incurred in discharging its duties will be shared equally between the parties unless otherwise agreed. The Accountable Body shall prepare an annual budget/statement and present this to the LTB in October of each year for approval
- 7.8 The Accountable Body shall enter into such further agreement(s) as may be required with any authority promoting a scheme approved for implementation by the LTB, in order to secure direct commitments from that authority with regard to securing the monitoring, reporting and auditing obligations needed to meet the objectives of this agreement and the requirements of any DfT grant conditions.

8 Scheme Prioritisation

- 8.1 The parties shall develop a Priority Programme of Schemes meeting the LTB objectives and the LTB shall approve this programme at its first meeting, and thereafter review the Priority Programme at least annually. The Priority Programme shall be published on the LEP website.
- 8.2 The LTB shall at its first meeting adopt
- a process of developing a long list of transport infrastructure,
 - criteria for the initial screening of schemes (deliverability, affordability and a £2m minimum cost threshold),
 - a methodology for the short listing and
 - criteria and weightings to be applied to shortlisting,
- and shall publish these on the LEP Website and shall thereafter keep these under review.
- 8.3 The LTB shall ensure that business representatives are involved in the preparation of the Priority Programme through the Infrastructure and Place Group established under the LEP arrangements]
- 8.4 The parties shall work together to ensure that prior to the first meeting of the LTP Board (before July 2013) the provisionally identified Priority Programme will result in strong business cases.
- 8.5 The parties acknowledge that where shortlisted schemes relate to the strategic road or rail network they must identify a process of engagement with the Highways Agency and Network Rail.
- 8.6 The LTB expect schemes, which come forward for approval to represent 'high' value for money as determined using the DfT Transport and Business Case Guidance on published on the DfT website.
- 8.7 Scheme approval must be supported by a full assessment of the scheme carried out independently of the Authority/Authorities promoting the scheme.
- 8.8 The LTB does not intend to prescribe a maximum or minimum threshold for any local contribution to be made to any scheme although they will expect the promoting authority to explore additional funding that could bring added value.
- 8.9 Responsibility for implementation of any approved scheme shall rest with the authority or authorities in whose area the scheme is based. Such authority or authorities shall provide all reasonable assistance to the Accountable Body to enable it to meet its obligations under this agreement. In addition such authority or authorities shall ensure that it/they has in place arrangements to enable it/they to meet the objectives and requirements set out in this Agreement, in particular in connection with independent audit, and effective monitoring and project management and shall regularly report thereon to the Board.

9 Financial Arrangements

- 9.1 The parties recognise the importance of bringing forward schemes, which provide "high" value for money. Individual schemes business cases will comply with the DfT business case guidance in particular WebTAG.
- 9.2 The parties will in principle pursue this approach but where appropriate will seek proportionality reflecting the scale and nature of the individual scheme. The appraisal and modelling work will be scrutinised on behalf of the LTB by parties independent from the scheme promoting authority.
- 9.3 It is proposed that the following general approval regime for schemes is adopted:
- Agreement on initial Priority Programme (July 2013) and selection of initial preferred scheme
 - Outline business case (OBC) for the selected scheme(s) -sufficient to support statutory processes
 - Final business case (FBC) approval to secure release of funds for the selected scheme(s).
 - In the event that the initial scheme does not progress through the OBC or FBC process the LTB shall select the next scheme from the Priority Programme and proceed to take that to OBC and FBC stages.
 - Further schemes shall be selected from the Priority Programme as funds become available.
 - The Priority Programme shall be reviewed and updated annually
 - Business Cases will be subject to approval and quality assurance by the existing Programme Assurance Board established by the Authorities before being submitted to the Board.
 - Value for money statements will be presented to the Board at each approval stage (OBC and FBC). Statements shall be signed off by the relevant S151 officer of the Authority promoting the Scheme
 - OBC and FBC shall be published on the LEP Website(westofenglandlep.co.uk) prior to submission to the Board for approval and any comments received as a result shall be reported to the Board at the meeting considering the OBC or FBC (as the case may be).
- 9.4 The LTB will establish mechanisms for monitoring and evaluating the impacts of the schemes, which are implemented. The results of these will be independently reviewed (namely by someone other than the authority promoting the scheme) and reported to the LTB and published.
- 9.5 Before any funding can be drawn down from the Accountable Body the Final Business Case must have been agreed by the Local Transport Body.
- 9.6 The parties shall ensure that a robust system of project and risk management for the individual schemes is in place, (and forms part of the FBC) and this will enable spend profiles to be effectively monitored and managed. Appropriate and proportionate mechanisms will be established for independent assurance including the identification of named responsible officers or external parties.
- 9.7 The parties shall ensure that robust systems are in place for effective and continuous programme management, including management of risk. These shall include arrangements for dealing with urgent matters arising between LTB board meetings. The chair of the LTB shall be contacted by the chair of the Programme Assurance Board in the event of the need for urgent action. The parties confirm the LTB Chair's authority to act in such cases reporting to the next LTB board.

10 Liabilities, Immunity and Indemnities

- 10.1 When working as a member of the Local Transport Body, the local authority members shall be deemed to be working on behalf of their own Authority even where the particular matter under consideration relates to or also relates to another Authority.
- 10.2 In consequence of the above, both local authority members and officers shall be treated as falling within the statutory immunity provided by Section 265 of the Public Health Act 1875, as amended, in respect of their actions or omissions in respect of the functions and objectives of the LTB.
- 10.3 The parties acknowledge that the LEP representatives on the LTB shall have no personal liability for any decisions of the LTB or the Board.
- 10.4 For a period of six months or such earlier time as arrangements are in place for the protection of the LEP representatives from personal liability equivalent to those in clause 10.1 and 10.2, the local authorities shall indemnify the LEP representatives in respect of any personal liability they may incur as a consequence of any decisions made by the Board.

11 Incorporation of Provisions from the 2009 Agreement

11.1 The following provisions of the 2009 Agreement shall apply to this Agreement with such change as may be necessary (including making reference to the LEP where appropriate) to give full effect thereto.

- Clause 12 Intellectual Property
- Clause 15 Remediation and Dispute Resolution
- Clause 16 Withdrawal and Indemnity for Consequences of Withdrawal
- Clause 17 Confidential Information
- Clause 18 Compliance with Laws
- Clause 19 Freedom of Information Act 2000 and Environmental Information Regulations 2004
- Clause 23 General

12 Counterparts.

This Deed may be executed in any number of counterparts all of which shall together be one and the same instrument.

13 Compliance Assurance

The parties shall put in place arrangements for independent audit of the operation of the provisions of this agreement and the arrangements made thereunder. This audit shall be carried out by a qualified auditor independent of any of the parties. The first such audit to be carried out before December 2014, and thereafter annually.

IN WITNESS hereof the parties hereto have executed this Agreement as a Deed the day and year first written

The Common Seal of **Bath and North East**)
Somerset Council was affixed hereto in the)
presence of the undersigned authorised signatory)

Authorised Signatory

The Common Seal of **Bristol City Council**)
was affixed hereto in the presence of the)
undersigned authorised signatory)

Authorised Signatory

The Common Seal of **North Somerset Council**)
was affixed hereto in the presence of the)
undersigned authorised signatory)

Authorised Signatory

The Common Seal of **South Gloucestershire**)
Council was affixed hereto in the presence of)
the undersigned authorised signatory)

Signed as a Deed by the **Local Enterprise**)
Partnership)

Director

Director/Secretary

**MetroWest Phase 2
Stakeholder Management and Engagement
Strategy**

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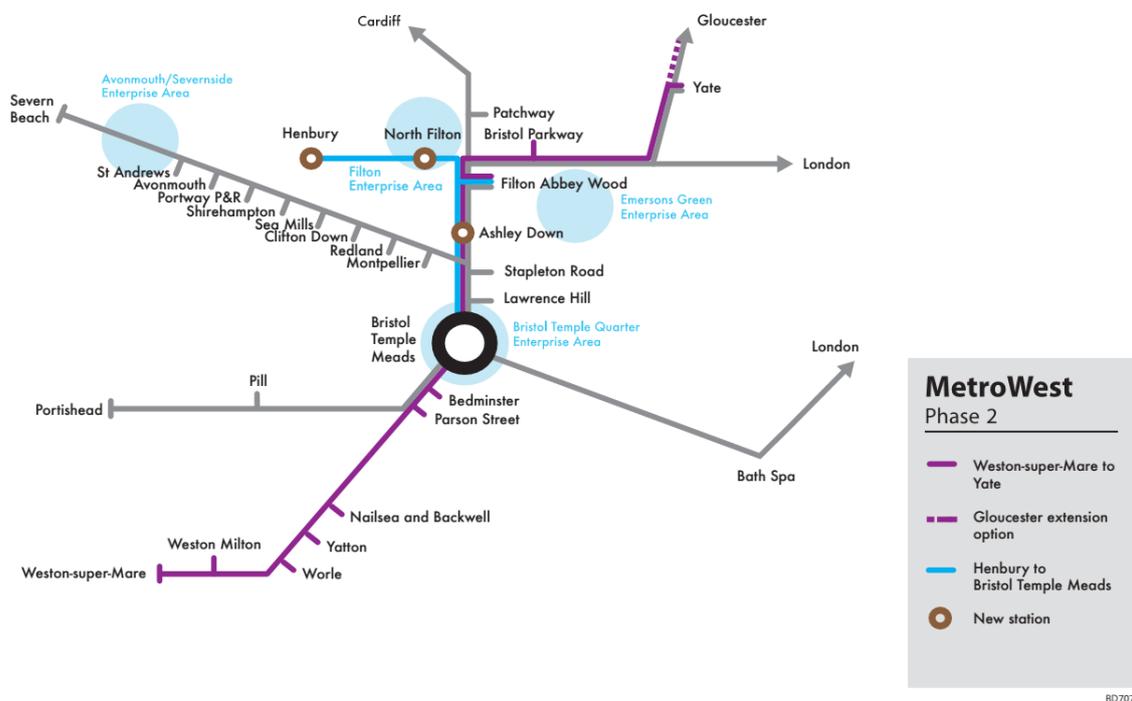
1. Introduction

- 1.1. This Stakeholder Management and Engagement Plan is for MetroWest Phase 2.
- 1.2. This plan is intended to help the Project Team to jointly deliver communications and engagement activities around the project, and to support the development of this project and preparation of the Full Business Case.
- 1.3. The Plan is intended to be a 'live' document which will be reviewed as the project progresses.

2. Context

- 2.1. MetroWest Phase 2 forms part of the MetroWest programme, an ambitious programme that will transform the provision of local rail services across the West of England.
- 2.2. MetroWest is being jointly promoted and developed by the four West of England councils (Bath & North East Somerset, Bristol City, North Somerset and South Gloucestershire Councils). It is included in the current Joint Local Transport Plan, 2011-2026 and the authorities' Core Strategies, and is to be delivered during Network Rail Control Period 5 (CP5 is 2014-2019) and 6 (CP6 is 2019-2024).
- 2.3. The MetroWest programme will address the core issue of transport network resilience, through targeted investment to increase both the capacity and accessibility of the local rail network. The MetroWest concept is to deliver an enhanced local rail offer for the sub-region comprising:
 - Existing and disused rail corridors feeding into Bristol;
 - Broadly ½ hourly service frequency (but some variations possible pending business case);
 - Cross Bristol service patterns; and
 - Providing a Metro type service appropriate for a City Region of 1 million population.
- 2.4. The Joint Transport Board endorsed the Preliminary Business Case on 16th September 2015 for a scheme comprising new stations at Henbury, North Filton and Ashley Down (served by an hourly service to/from Bristol Temple Meads), plus a Yate turn-back (to permit an increased service frequency at Yate). The JTB also endorsed further work with Gloucestershire County Council to examine the extension of MetroWest services into Gloucestershire. Scheme opening year is 2021.

- 2.5. The enhancement of Bristol East Junction (BEJ) is a pre-requisite for the Henbury Line service; Network Rail is seeking to secure funding for implementation in early CP6 (2019/20) although recent briefings are pointing towards Autumn 2021.
- 2.6. The MetroWest programme will extend the benefits of strategic transport interventions that are either in the process of being delivered or have been delivered by the West of England councils; these include the MetroBus schemes, Bath Package, Weston Package and the Local Sustainable Travel Fund programme, which will result in better modal integration between rail, bus and active modes, providing an important step towards seamless modal transfer at key hubs across West of England.



3. Purpose

- 3.1. Aspirations for rail are high and there is a clear need to explain what is happening, promote understanding and encourage support for proposals across the programme.
- 3.2. The purpose of this Engagement Strategy is to set out how we intend to engage with stakeholders and the public during the project, in line with the overall Communications Framework.
- 3.3. The Communications Framework for MetroWest is co-ordinated at the Rail Programme Board level and is based on the following principles:

- Specific communication activities are focussed at the right level for particular consultees and stakeholders
- Projects seek an appropriate level of feedback from consultees and stakeholders to be incorporated into the development of MetroWest
- Concerns of potential objectors are addressed as far as possible
- The Core Project Team will be responsible for ensuring statutory consultation meets the requirements for the appropriate process

3.4. The Communications Framework will ensure that:

- communication and engagement activity is embedded within the project and delivers consistent and agreed messages aligned to overall project goals
- the benefits of the project (at the local, as well as regional scale) are clearly communicated, helping to attract support for the scheme that will ultimately enable the relevant consents and permissions to be obtained in a timely and effective manner
- where there may be cases when stakeholders do not support the scheme, the risks are understood and managed

3.5. Best practice suggests that early and effective engagement and communication is beneficial in terms of:

- Ensuring that expectations are managed and that everyone understands the process of scheme development
- Facilitating dialogue with statutory consultees in order to understand and address any potential issues at an early stage
- Providing a framework for developing a relationship with landowners directly affected by the project in order to maximize the opportunity for landowner agreements in the longer term (in order to avoid potential CPO)
- Building understanding about what is being proposed, why and what the positive benefits are, helping to build support from local communities and network users

4. Aims of Engagement

4.1. Effective engagement with stakeholders and the public can lead to better proposals, decisions and outcomes, and help to avoid delivery delays. It also improves confidence in the fairness of scheme development.

4.2. MetroWest Phase 2 incorporates a range of activities, which aim to: -

- Generate an understanding of the requirement for the project and the benefits that it could bring
- Describe the work that is being undertaken
- Understand what issues and concerns arise for different groups of society from the project
- Reach out to parts of society disproportionately affected and those who may not typically engage in the rail and transport debate;
- Continue to positively engage with people to demonstrate the value of their input and make clear what decisions can and cannot be influenced within the context of this project;
- Generate support or acceptance for the project
- Improve the scheme by identifying mitigation measures or refining proposed implementation measures where possible.

5. Key Messages

5.1. The key messages that will need to be clearly and consistently conveyed through communication and engagement activities will be evolved as the project progresses.

5.2. The principal business objectives of the Project are:

- To support economic growth, through enhancing the transport links to the Filton Enterprise Area, North Fringe, Yate, Temple Quay Enterprise Zone and Bristol City Centre.
- To deliver a more resilient transport offer, providing more attractive and guaranteed (future proofed) journey times for commuters, business and residents in the area, through better utilisation of strategic heavy rail corridors from Yate and Henbury.
- To improve accessibility to the rail network with new and re-opened rail stations and improved service frequencies.
- To make a positive contribution to social well-being, life opportunities and improving quality of life (along the affected corridors in particular).

5.3. Supporting objectives are:

- To mitigate traffic congestion in the North Fringe and Yate corridor
- To enhance the carrying capacity of the local rail network
- To reduce the adverse environmental impacts of the local transport network as a whole.

5.4. The message should then continue with the following information points:

- The key aim is to encourage growth and jobs, whilst mitigating any adverse environmental impacts;
- The study will engage stakeholders at an early stage and there will be an opportunity for the public to comment on the project.

5.5. The key messages will need to refer to policy support for the project, in particular that the Joint Spatial Plan includes the scheme within the baseline requirements.

5.6. MetroWest, either in its current or past guises, is incorporated in each of the authorities' Core Strategies as well as the Joint Local Transport Plan. As a result, the scheme has been subject to consultations at various stages in the plan preparation process.

5.7. The adopted South Gloucestershire Supplementary Planning Document (SPD) on the Cribbs Patchway New Neighbourhood (CPNN) states that the requirement of the Council to identify and safeguard sites for railway stations (and associated interchange facilities) along the route of the Hallen line.

5.8. The Local Transport Board prioritised MetroWest Phase 1 for devolved major scheme funding from 2015/16 to be followed by Phase 2, at its meeting on 14th June 2013.

5.9. The Preliminary Business Case for MetroWest Phase 2 was approved by the Joint Transport Board and PTSE Sub-committee in September 2015.

5.10. In July 2010 the West of England authorities, Network Rail, First Great Western, Cross Country and South West Trains signed a memorandum of understanding promoting 'effective co-ordination and co-operation' between the organisations. The key principles were openness, explanation and discussion together with shared responsibility and ownership of problems and solutions.

5.11. In October 2013, Bristol City Council, the West of England LEP, the Homes and Community Agency, English Heritage and Network Rail signed a 25-year memorandum of understanding to 'promote effective co-ordination and co-operation between the

five organisations to achieve the development of Bristol Temple Meads Station as part of the Temple Quarter Enterprise Zone'. Again, the key principles are of 'openness, explanation and discussion together with shared responsibility and ownership of problems and solutions'.

- 5.12. The project is following the West of England Combined Authority (WECA) process for the development of transport business cases.

6. Statutory Consultation

- 6.1 As stated above MetroWest, either in its current or past guises, is incorporated in each of the authorities' Core Strategies as well as the Joint Local Transport Plan. As a result, the scheme has been subject to consultations at various stages in the plan preparation process.
- 6.2 In addition specific consultations have been undertaken for MetroWest Phase 2 in relation to the location of Henbury station and further consultation events will be held when planning applications are submitted.

7. Risks

- 7.1. As the project progresses it will be important to review the communication and engagement strategy from a risk based perspective.
- 7.2. Key risks will be added to the initial risk register, which will help to ensure that resources are directed towards areas where there is the greatest potential risk of an influential group not supporting the project.
- 7.3. It is acknowledged there are significant risks associated with not engaging sufficiently and effectively with key stakeholders and the public. The most significant risk is a lack of understanding about the project.
- 7.4. There is a risk that more vocal stakeholders and residents are given disproportionate attention and that others who provide inputs to stakeholder events and associated reporting are underrepresented. This requires mitigation through hosting of a diverse range of events in different neighbourhoods, aimed at different demographics.
- 7.5. There are also risks associated with undertaking engagement over an extended period, as there is a possibility that the pace of technical work will not match planned engagement events. This could generate engagement fatigue, creating frustration among audiences who are not presented with any new information.
- 7.6. There is also the potential for opposition to any fiscal element of the scheme and such opposition could coalesce and organise, influencing political decisions.
- 7.7. It is likely that this opposition will exist regardless of the engagement process, but by undertaking a comprehensive engagement plan, there is the potential to alleviate concerns of some opposition and generate a body of support.

7.8. The likelihood of increasing the level of opposition can be minimised by effective messaging and using an approach which not only reaches all audiences that might be opposed, but enables supporters to make their case.

Risk	Mitigation
Lack of support/acceptance from stakeholders for the project	<ul style="list-style-type: none"> • Ensure benefits (including regional and wider benefits) are clearly communicated • Address stakeholders concerns as far as possible within the objectives of the project
Project involves compulsory purchase of land or property	<ul style="list-style-type: none"> • Early engagement of landowners • Ensure transparency of progress
Preferred option impacts upon natural or historic environment	<ul style="list-style-type: none"> • Early engagement with Environment Agency, Natural England and Historic England. • Ensure transparency of option generation • Ensure options are driven by understanding of impacts • Consider mitigation early
Pressure for additional consultation or face to face meetings	<ul style="list-style-type: none"> • Manage expectations and use dedicated website to distribute information
Risk of unsupportive coverage in the media and press	<ul style="list-style-type: none"> • Proactively brief the media ahead of key events • Plan a series of positive press releases

8. Stakeholders

8.1. MetroWest Phase 2 will directly or indirectly affect a wide range of individuals, groups and organisations. It is important, therefore, to seek to identify as many relevant stakeholders as possible and engage with them.

8.2. Successful delivery of the project will be influenced by:

- informing stakeholders of the proposals
- obtaining their comments and inputs into the development process and decision-making
- generating support and addressing concerns
- keeping them informed of progress and outcomes

8.3. Effective engagement enables stakeholders to raise concerns and suggest suitable mitigation measures for disproportionately affected groups. Where appropriate, these concerns can be considered and addressed, whilst maintaining the overall effectiveness of the scheme.

8.4. Stakeholders have been identified and then grouped into eight categories:

Campaign groups	Other organisations / groups
Key businesses / business groups	Politicians and local government
Key demographics	Transport operators / projects
Key service providers	Transport user groups

8.5. Once grouped, stakeholders were classified into their likely engagement roles. Four main roles were decided:

1. **Decision makers** – people or organisations charged with making the final decisions around the project;
2. **Delivery partners** – groups that will play a role in delivering the changes required by the project;
3. **Engagement partners** – groups that can help prepare and disseminate information and engage with residents and other groups; and
4. **Influencers** – groups that will be engaged with either directly, or through engagement partners, whether they support or oppose the proposals will have an influence on the decision makers.

8.6. Appendix 1 contains a full list of Stakeholders. As engagement progresses, new stakeholders may be identified and will be categorised and added to the list as appropriate.

8.7. The stakeholder roles influence the likely frequency of contact required and the most suited engagement methods. Once roles were identified, engagement methods and tools were matched.

9. Tools and Methods

9.1. There will be a significant number of affected and interested stakeholders who will want to be informed about the project. As a result, a range of communication and engagement tools and methods have been identified:

- Early meetings with key individuals/groups - hold meetings with key stakeholders in different formats as appropriate.
- Briefings to Members, town and parish councils and other key groups
- Public and stakeholder consultation – a formal phase of consultation to allow information sharing to, and comment from, a wider audience. This will form part of the planning process.

- Email correspondence and report sharing
 - Social media- information on the TravelWest website and social media platforms
 - Newsletter and FAQs at programme level to share key facts about the project
 - Public relations and media briefings by SGC Press Office. Updates to be provided at key points in project development.
 - Briefing events - structured invitation-only events held with engagement and delivery partners
 - Drop in sessions- facilities for people to come in, obtain information and ask questions
 - Use of online platforms for surveys used during formal consultation periods
 - Pop up events - public events and stunts to raise awareness
- 9.2. The Project Team will inform the SGC Press Office of approaching key milestones. Internal communications will be used to inform staff so they can endeavour to become ambassadors for the scheme, through the use of intranet articles, Snapshot newsletter, and CEO briefings.
- 9.3. The SGC Press Office will inform/reassure public and transport community through media work when key milestones are achieved ie through press releases, and TraveWest website.
- 9.4. Affected Ward Members and PTSE Committee Members will be notified by the Project Team of any key milestones and when any press releases are issued to the media.
- 9.5. The Project Team will be responsible for agreeing material with partners prior to publication.
- 9.6. Whilst this list is extensive and covers the most likely engagement tools and methods, it should not be taken as being fixed or complete.

10. Timeline

10.1. MetroWest Phase 2 has four key programme stages leading to the start of services in 2021:

1. Feasibility (inc GRIP 1-2) to July 2015;
2. Option Development (inc GRIP 3) to 2018;
3. Planning and Procurement (including GRIP 4-5) to 2020;
4. Construction and Operation (inc GRIP 6-8) to 2021.

10.2. The Engagement Plan also follows four phases, designed to link in with the above. This will ensure that technical information is available for consultation and engagement activities and that results from these activities can feed into and inform the technical work.

10.3. Phase 1 – Feasibility - this stage of the study will move through project initiation and towards confirmation of the need for intervention and the scheme objectives. During this phase of the project the focus of communications and engagement work will be on:

- Sharing 'good news' information to confirm that the project has started.
- Sharing information on the purpose and scope of the project and managing expectations around the outcome of this stage of work.
- Making initial contact with stakeholders and setting out/agreeing how we intend to work with them going forward.
- Ensuring that the project team understand the point of view of each of the key stakeholders.
- Generating discussion around the draft objectives and working towards preparation of a set of objectives that has reasonable buy-in from the key stakeholders.
- Providing an opportunity for stakeholders to identify additional evidence to help build the case for intervention

10.4. Phase 2 – Option Development - this stage of the study will focus on option development and the engagement work will:

- Allow stakeholders to contribute to the process of option identification.
- Ensure that the option sifting process and any assumptions made are understood.
- Ensure that stakeholders understand why options perform in the way that they do, relative to the sifting/appraisal criteria.
- Ensure that the reasons for discounting options are clearly communicated.

- Work towards a position where stakeholders understand and support the short listed options identified.

10.5. Phase 3 - Planning and Procurement.

- To fully inform stakeholders of what the scheme entails
- To give stakeholders the opportunity to comment on the planning applications
- To advise on timescales for delivery / scheme opening

10.7 Phase 4 - Construction and Operation

- To keep stakeholders informed of the construction process and timescales for scheme opening
- To update on road works in relation to the project that might affect highway users
- To update on any railway works as a result of the project that might affect rail passengers
- To promote the new railway service and station facilities
- To offer incentives to use the service
- To update on the success of service

11. Action Plan

11.1. The Action Plan sets out the key activities that represent the communication and engagement the Project Team will carry out in order to achieve the objectives in this plan. It is envisioned that Network Rail will provide the structure and technical content of communications activities, whilst SGC would refine and review the content before publishing. For engagement activities, members of Network Rail, and SGC will attend from the project team.

11.2. The key activities are listed in their respective phases in the table below:

Phase	Key activities	Date
Phase 1 Feasibility	<ul style="list-style-type: none"> - Set up website and social media Platforms - Publish key facts of the project - Meet with key decision makers, delivery partners and engagement partners. 	
Phase 2 Option Development	<ul style="list-style-type: none"> - Further meetings and workshops with delivery partners - Inform public of the project and opportunity to feed into work 	

	<ul style="list-style-type: none"> - Analyse data received from engagement; - Prepare material for first formal consultation - Hold public consultation events, with engagement partners and key supporting influencers. 	
<p>Phase 3 Planning and Procurement</p>	<ul style="list-style-type: none"> - Media briefings, update website, newsletter - Prepare material for consultation events - Online questionnaire; - Hold public consultation events, - Analyse data received from engagement 	<p>Summer 2019 – Winter 2020</p>
<p>Phase 4 Construction and Operation</p>	<ul style="list-style-type: none"> - Media briefings - Update website - Provide information for rail passengers - MetroWest Newsletter - Prepare promotional material - monitor success of scheme promotion 	<p>Winter 2020 – Summer 2022</p>

12. Appendix 1- List of key stakeholders

Decision Maker
Delivery Partner
Engagement Partner
Influencer

Category	Role
1. Campaign groups	
Environmental Groups	Influencer
2. Key businesses / business groups	
Business West	Influencer
Bristol & Bath Science Park	Influencer
Emerald Park	Influencer
3. Key demographics	
Resident and Community groups	Influencer
4. Key service providers	
Emergency Services	Influencer
5. Other Organisations/groups	
Environment Agency	Decision Maker
Natural England	Decision Maker
Historic England	Decision Maker
Landowners	Influencer
Developers	Influencer
Highways England	Decision Maker
Utilities	Decision Maker
Water & Sewage	Decision Maker
6. Politicians/local Government	
Member of Parliament	Influencer
Parish/Town Councils	Engagement Partner
Bristol City Council	Delivery Partner
Members and Committees	Decision Maker
Local Planning Authority	Decision Maker
Highway Authority	Decision Maker
Bath & North East Somerset Council	Delivery Partner
North Somerset Council	Delivery Partner
Joint Scrutiny	Decision Maker
WECA/ LEPs	Decision Maker
DfT/ SoS/ DEFRA	Decision Maker
Office of Rail and Road (ORR)	Influencer
7. Transport Operators/ projects	
Great Western Railway	Delivery Partner

Network Rail	Delivery Partner
Train operating companies (existing and potential)	Influencer
Cross Country Trains	Influencer
Freightliner	Influencer
Deutschebahn	Influencer
DB Cargo	Influencer
Freight operating companies	Influencer
Bus operators	Influencer
Bristol Port Company	Influencer
Freight Transport Association	Influencer
Road Haulage Association	Influencer
First Group	Influencer
GWML Electrification	Influencer
Bristol Area Signalling Renewal	Influencer
Bristol East Junction Renewal	Influencer
BTM Station Masterplan	Influencer
Filton Bank 4 Tracking	Influencer
Bristol Area Plain Line & S&C Renewals	Influencer
MetroWest Phase 1	Delivery Partner
Portway Park and ride	Influencer
8. Transport User groups	
Public transport users and non-users	Influencer
British Horse Society	Influencer
Sustrans	Influencer
Local rail and transport campaign groups	Influencer

Bristol City Council Equality Impact Assessment Form

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



Name of proposal	MetroWest Phase 2
Directorate and Service Area	Growth and Regeneration / Transport Service
Name of Lead Officer	Melanie Bufton / 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?
The MetroWest programme seeks to increase both the capacity and accessibility of the local rail network.
The MetroWest Phase 2 project, part of the MetroWest programme, will re-open the Henbury line to an hourly spur, increase train services to Yate and deliver new stations at Henbury, North Filton and Ashley Down.

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?	
Those affected by proposals would reflect the general population of Bristol as well as visitors and commuters.	
<i>Census 2011 data</i>	
	Demographics in Bristol are %
Aged 15 and under	18.40%
16-24	15.60%
65 – 74	6.50%
75 and over	6.60%

Men	49.80%
Women	50.20%
People with a disability or long term limiting illness total	16.70%
White British	77.90%
White – non-British	6.10%
Black and minority ethnic	16%
Civil partnership	0.30%
People whose main language is not English	8.50%
Lone Parent Household	12%

National Travel Survey (2017) statistics identifies males made 24 trips on average each compared to females making 18 trips on average each and that most rail users are commuters to either work or education.

A summary of key statistics about equalities communities in Bristol can be found

<https://www.bristol.gov.uk/documents/20182/34008/2011%20Census%20Key%20Statistics%20About%20Equalities%20Communities.pdf/2c59eeae-b5fa-431d-87b8-f629c241dff6>

The following data is collected (data collected 2012-13 to 2017-18) by ORR (Office of Rail and Road) for Disabled People’s Protection Policies (DPPP) compliance monitoring:

1. The number of passengers that have a Disabled Persons Railcard (DPRC), which enables disabled passengers to get a discount of a third off adult rail fares for travel on the National Rail network in Great Britain.
2. The number of booked passenger assists and passenger bookings for assists on the GB rail network. Bookings are made through the National Passenger Assistance Booking System managed by the Rail Delivery Group (RDG). It does not include unbooked assistance such as turn up and go.

2018 Statistical ward profile data for the Lockleaze and Bishopston & Ashley Down wards in Bristol which will be directly impacted by the proposed new rail station at Ashley Down is available.

<https://www.bristol.gov.uk/documents/20182/436737/Lockleaze.pdf/d91c5f24-7a1b-41ec-9c33-b48d1eef946b>

<https://www.bristol.gov.uk/documents/20182/436737/Bishopston+and+Ashley+Down.pdf/ec1a9305-efbb-4b05-82e6-89356e7ba754>

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

There are no comprehensive statistics on rail usage by equalities community. (National Travel Survey 2017 statistics is a sample of the general population and not only users of rail.)

Data is not collected on all passengers who use rail services nationally or locally, and many travellers purchase tickets on line without providing equality monitoring data.

A number of Railcards are available, eg 16-25, Two Together, Family & Friends, Senior, Disabled Persons or 26-30 Railcard which entitle the holder to reduced rail fares and therefore it is likely that a proportion of these groups use rail services.

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 and will continue to be undertaken throughout the project. A Stakeholder and Engagement Strategy has been prepared for MetroWest Phase 2. This is a living document and can be updated as appropriate throughout 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 construction and operation stage impacts on several equalities groups including disabled and older people in terms of physical accessibility. Through further stakeholder engagement, comments and recommendations will be considered to revise the next stage EqIA.

For Ashley Down Station there may be negative impacts for passengers using

wheelchairs and prams/buggies accessing the proposed new station from Muller Road via Station Lane. This is because the subway connecting Station Lane with Station Road has an uneven surface, and when exiting the subway the gradient of the path leading to the proposed new station entrance has a steep gradient of 1 in 12. Passengers using wheelchairs and prams/buggies may need to access the proposed new station via Station Road or Concorde Way, which may not be the shortest route.

To help mitigate this we propose to resurface the subway so that it is no longer uneven, and on exiting the subway the gradients will be reduced as much as topography will allow.

There is also potential for conflict with passengers and cyclists due to the proposed accessible path leading to the station entrance crossing Concorde Way. Concorde Way is a well-used route for cyclists. To reduce the occurrence of conflict, signage and physical measures are proposed with best practice examples sought to input into designs.

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

A range of measures are proposed 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 to rail services across the protected characteristics groups.

By providing these improvements to the rail network, we are ensuring rail services are more inclusive and accessible to all future passengers.

The project expects to encourage sustainable travel modes which will benefit the environment, reduce congestion and improve air quality for all citizens in the city.

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.

Engagement with Network Rail's Built Environment Accessibility Panel (BEAP)

who are an independent panel of disabled people, older people and access experts to make sure Network Rail buildings are accessible and inclusive. Engagement with (BEAP) throughout the process and engagement with Equalities groups will ensure benefits for people with protected characteristics are maximised.

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?
Yes
4.2 What actions have been identified going forward?
To ensure opportunities to engage with equalities groups as part of the project are maximised.
4.3 How will the impact of your proposal and actions be measured moving forward?
We will carry out further analysis of equalities data for responses for surveys undertaken etc.

Service Director Sign-Off: 	Equalities Officer Sign Off:  Duncan Fleming
Date: 05/06/19	Date: 5/6/2019

Eco Impact Checklist

Title of report: MetroWest Phase 2 (Henbury rail line and increased rail services to Yate)				
Report author: Melanie Bufton/Andrew Davies				
Anticipated date of key decision: 04/06/2019				
Summary of proposals:				
<ol style="list-style-type: none"> To provide an update on the MetroWest Phase 2 rail project. To seek approval to continue to fund scheme development as per the Initial Promotion Agreement between Bristol City Council and South Gloucestershire Council for MetroWest Phase 2, subject to additional funding being secured from WECA. To seek approval to delegate authority to the Executive Director of Growth & Regeneration, in consultation with the Cabinet Member for Transport, and; Legal and Democratic Services, to finalise, sign and seal an updated Initial Promotion Agreement in conjunction with South Gloucestershire Council. To request approval for public consultation on highway options and improvements associated with the new Ashley Down rail station, and that approval for the final scheme be delegated to Director of Economy of Place in consultation with the Cabinet Member for Transport. To request that Cabinet approve delegation of authority to Director of Economy of Place in consultation with the Cabinet Member for Transport with regard to next stages required to deliver the agreed final Ashley Down Station scheme. 				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	Y	+ive	<p>Enhancements to the rail network contribute to a reduction in emissions through increased sustainable travel choices. Some negative impacts of increased diesel train frequency.</p> <p>Building car parks linked to the new stations at Henbury and Filton North. (Note: Ashley Down Station proposals do not include any public car parking. Two accessible blue badge parking bays are proposed, with no net gain in total car</p>	<p>Enhancement of the local rail network off sets negative air quality impacts of increased train frequencies.</p> <p>There is an opportunity here to look at installation of electric car charging points as part of parking spaces where car parks are built, encouraging alternative more sustainable travel.</p>

			parking).	
Bristol's resilience to the effects of climate change?	Y	+/-ive	Flood risk and water contamination possible	During planning and design processes assess flood risk to planned construction areas. This has been considered in the Environmental appraisal prepared in 2015 for Network Rail and subsequent Action Plan 2018 (link to Appraisal: https://s3-eu-west-1.amazonaws.com/travelwest/wp-content/uploads/2015/07/8-grip2-app-g-environmental-appraisals.pdf). This will also be considered in the EIA which will need to be produced as part of the planning process.
Consumption of non-renewable resources?	Y	-ive	Construction of new infrastructure consumes materials and fuels	Aim to minimise the use of non-renewable materials. Construction Management plan to be agreed. Look to appoint local contractors where possible to reduce travel impacts. Fuel efficient machinery will be considered and this is mentioned in the Environmental appraisal.
Production, recycling or disposal of waste	Y	-ive	Waste will be produced through infrastructure and engineering works	Ensure that waste is disposed of according to the waste hierarchy and waste legislation. The contractor will be required to create a waste management plan and this to be approved. This is considered in the 2015 Environmental appraisal and will be considered in the EIA which will need to be produced as part of the

				planning process.
The appearance of the city?	Y	+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/+ive	Henbury and North Filton Stations will be built including car parking.	Will be considered during the planning process.
		-ive	There may be some effects to Heritage sites/ building	Any effects would be considered through planning process and EIA.
Pollution to land, water, or air?	Y	+ive	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.
		+ive	Proposed improvement to cycle infrastructure around the proposed Ashley Down station to reduce conflicts between users and interchange with the station.	Encourages use of sustainable transport
		-ive	Potential that construction area will disturb contaminated land.	This is considered in the 2015 Environmental appraisal and will be considered in the EIA which will need to be produced as part of the planning process.

		-ive	Construction works will temporarily affect local air quality; some works will be within the air quality management area. Noise will be emitted during construction	Mitigation measures will be covered in EIA, and is considered in the Environmental Appraisal
Wildlife and habitats?	Y	-ive	Development of infrastructure has the potential to harm wildlife and habitats during construction.	Ecology surveys to be completed. This will inform construction timing, methodology and mitigation measures. Likely to be considered in EIA which will need to be produced as part of the planning process and considered in the Environmental Appraisal.

Consulted with:

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

The will be significant short term negative impacts through construction works. There will be long term positive impacts through improving sustainable transport provision and thus encouraging sustainable transport. Negative impacts will be mitigated through areas such as waste management plans and the planning process, including the creation of EIA as part of the planning process.

The overall impacts of this proposal is mixed but with a long term positive impact.

Checklist completed by:

Name:	
Dept.:	
Extension:	
Date:	13/05/2019
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 18 June 2019

TITLE	A4018 results of consultation report, request to submit FBC to WECA
Ward(s)	Clifton Down, Henbury and Brentry, Redland, Southmead, Stoke Bishop, and Westbury-on-Trym and Henleaze
Author: Steve Riley	Job title: Project Manager
Cabinet lead: Cllr Kye Dudd	Executive Director lead: Colin Molton
Proposal origin: <i>BCC Staff</i>	
Decision maker: Cabinet Member Decision forum: <i>Cabinet</i>	
Timescales: Cabinet, 18 June 2019	
<p>Purpose of Report:</p> <ol style="list-style-type: none"> 1. To present the results of the A4018 consultation, undertaken February-March 2019. 2. To propose an amended scheme taking into consideration the results of the consultation. 3. To seek approval to submit a Full Business Case (FBC) to WECA (West of England Combined Authority) for LGF (Local Growth Fund) Pinchpoint funding for the northern part of the corridor (a £3.449m claim towards a total cost of £3.829m), and to use Section 106 funding from the Cribbs-Patchway New Neighbourhood (CPNN) development, to be received via South Gloucestershire Council, for the southern elements. 	
<p>Evidence Base:</p> <ol style="list-style-type: none"> 1. Traffic modelling has shown that the CPNN development on the former Filton Airfield site will put significant pressure on the A4018 via a large number of new private vehicle journeys increasing traffic volumes, increasing journey times, and emitting more pollution. 2. A proposed set of measures to mitigate this pressure was subject to public consultation in February and March 2019 (generating over 2,700 sets of comments). 3. Taking into account the findings of the consultation, a revised set of measures is presented here for approval to be taken forward to construction. 4. Following consultation, the principal proposals of concern were: signalisation of the Crow Lane junction, the prohibited turnings into Knole Lane and Charlton Road, restrictions in Westbury Village, and the prohibited turning movements at various junctions on the A4018, particularly Henbury Road. 5. The proposed amended scheme is, in summary: removal of the elements above, the retention of bus lanes with peak hour restrictions, changes to the Greystoke Avenue junction and the junction of Falcondale Road with Westbury Road, and progression of the shared-use path on the Downs as a first phase. Potential future changes to the Westbury Village area will be redesigned using further local engagement via ward members and representative groups. 	
<p>Cabinet Member Recommendations:</p> <p>That cabinet:</p> <ol style="list-style-type: none"> 1. Approve the amended scheme for implementation having taken into consideration the outcome of consultation. 2. Approve: <ol style="list-style-type: none"> a. The submission of a business case to WECA for LGF Pinchpoint funding for elements of the northern section. b. The use of Section 106 funding for the other elements as set out in the report. 3. Authorise the Strategic Director, Growth and Regeneration, to instruct Legal Services to enter into the 	

necessary legal agreements with South Gloucestershire Council to secure the Cribbs-Patchway New Neighbourhood (CPNN) S106 funding for the works outlined in this report as set out in Recommendation 2b.

Corporate Strategy alignment:

1. Fair and Inclusive – improving accessibility to learning, jobs, and homes using sustainable modes of transport.
2. Well Connected – linking people and jobs up and down a major route into Bristol.

City Benefits:

1. The provision of bus priority measures and improved cycling infrastructure will increase the use of sustainable modes of transport, improving air quality and public health.

Consultation Details:

1. A meeting was held with the MP for Bristol North West, Darren Jones, who organised and summarised for the council two public meetings.
2. Each of the 13 ward members in the affected area was offered a briefing prior to the consultation starting, and a representative of the project attended the Southmead ward members’ surgery on 16 March.
3. Public consultation was carried out between 4 February and 17 March 2019, with more than 2,700 people providing comments via an online questionnaire, paper questionnaire, letter, or e-mail. Approximately 2,000 people attended one (or more) drop-in sessions.
4. Specific consultation meetings were held with the Bristol Cycling Campaign, Bristol Walking Alliance, representatives of the Westbury-on-Trym Society, and Henleaze Society, and the Henleaze Business Association, the BS10 Parks and Planning group, and Redmaids School.
5. The results of the consultation were that a number of the elements of the scheme generated a large amount of negative feedback. These – signalisation of the Crow Lane junction, the prohibited turnings into Knole Lane and Charlton Road, restrictions in Westbury Village, and the prohibited turning movements at various junctions on the A4018 – are not recommended to be taken forward.
6. The elements of the scheme that are recommended to be taken forward are:
 - a. Investigation of introducing a new 30mph speed limit at Crow Lane to cover the whole of Passage Road.
 - b. A new signalised pedestrian crossing north of Dragonswell Road.
 - c. Traffic calming measures on Brentry Lane.
 - d. A segregated cycle route or shared-use path, north- and south-bound, between Crow Lane and Greystoke Avenue.
 - e. Inbound and outbound bus lanes, operative in the morning and evening peak hours, from Crow Lane to Charlton Road.
 - f. An inbound bus lane, operative 24-hours a day, on new carriageway from Charlton Road to Greystoke Avenue (achieved through road-widening).
 - g. Full junction upgrade and signalisation of Falcondale Road-Greystoke Avenue.
 - h. Investigation of like-for-like refurbishment of the existing traffic signal junctions of Falcondale Road with Henbury Road/ Henbury Hill, Canford Road, Canford Lane, and Stoke Lane.
 - i. Installation of a pedestrian crossing on Passage Road close to Westbury-on-Trym primary school.
 - j. Investigation of options to provide a pedestrian crossing on Canford Lane west of the junction with Canford Road.
 - k. Full junction upgrade and signalisation of Falcondale Road-Westbury Road.
 - l. Construction of the new shared-use path on the Downs, subject to external permissions.

Background Documents:

1. The A4018 consultation results report is attached as Appendix A. This report summarises the main themes of the consultation, how the council has reacted to them, and how the updated scheme proposals for the A4018 therefore look.

Revenue Cost	£ 0	Source of Revenue Funding	N/A
Capital Cost	£ 3,448,916 WECA £ 380,000 Others	Source of Capital Funding	LGF Pinchpoint fund, FBC required, and Section 106 contributions/Other sources
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 implementation of Phase 1 (taking place between 2019 and 2021) is dependent on securing LGF Pinch Point funding. Phase 2 will be taking place between 2020-2022; however, it is not the subject of this report. The total project value for phase 1 of this scheme is £3,828,916, and is forecast to deliver a high Benefit Cost Ratio of 2.6. The scheme is estimated to deliver 63 gross new jobs during the construction phase (31 direct and 31 indirect) and GVA of £1,454,839.

Of the total cost, £3,448,916 is the subject of a recent bid to the LGF Pinchpoint fund, and the balance of £380,000 is match funding which is yet to be secured, but is expected to come from s106, LTP and/or other central government funding.

It is acknowledged that where the scheme to record a cost over-runs and/or cannot meet the deadline set under the grant fund conditions, the Transport management budget would be utilised to remedy any funding gap. The project is scalable, depending of the funding secured. The project cost assumes optimism bias and contingencies.

It should also be noted that practical work will only commence once the appropriate funding has been confirmed by WECA and/or the other funding sources mentioned above.

Below is the anticipated spend profile:

Total Spend: £3,828,916

	19/20	20/21
Design	£360,476	£0
Construction (BCC match) ¹		£380,000
Construction	£0	£2,672,328
Project Management	£70,000	£89,222
Risk Allowance	£182,150	£454,739
Total	£612,626	£3,216,290

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth & Regeneration, 28 May 2019

2. Legal Advice: Consultation has taken place in relation to the decision to be taken. The responses to the consultation must be taken into account by Cabinet when taking the decision. Cabinet should also be satisfied that proper consultation has taken place in that (i) proposals were consulted on at a formative stage (ii) sufficient reasons have been given for the proposals and (iii) adequate time has been allowed for consideration and response. Appendix B of this report clearly sets out the process that was undertaken and how responses have been taken into consideration by officers when developing their proposals for final decision.

The Public Sector Equality duty requires the decision maker to consider the need to promote equality for persons with “protected characteristics” and to have due regard to the need to i) eliminate discrimination, harassment, and victimisation; ii) advance equality of opportunity; and iii) foster good relations between persons who share a relevant protected characteristic and those who do not share it. An Equalities impact check /assessment will need to be carried out in relation to this decision. The decision maker must take into consideration the information in the check/assessment before taking the decision. A decision can be made where there is a negative impact if it is clear that it is necessary, it is not possible to reduce or remove the negative impact by looking at alternatives and the means by which the aim of the decision is being implemented is both necessary and proportionate.

Legal Team Leader: Sarah Sharland, Senior Solicitor, 11 April 2019

3. Implications on IT: There are no identifiable IT implications arising from this report.

IT Team Leader: Ian Gale, Head of IT, 28 March 2019

4. HR Advice:

¹ Please note that this funding has been 'identified' but not yet 'secured'. In order of preference the funding is expected to come from one or a combination of the following: s106; LTP (subject to WECA bidding process) and/or government competition funding.

HR Partner:		
EDM Sign-off	Colin Molton	3 April 2019
Cabinet Member sign-off	CLlr Kye Dudd	15 May 2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 May 2019

Appendix A – Further essential background / detail on the proposal	NO
Appendix B – Details of consultation carried out - internal and external See attached consultation results report that summarises the consultation undertaken and how this has been used to influence an amended scheme.	YES
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	YES
Appendix E – Equalities impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal The significant impacts of this proposal are to: introduce measures to encourage the use of sustainable transport modes through new walking and cycling infrastructure and bus priority measures on the A4018 Passage Road and Falcondale Road. In addition, improvements to the Falcondale Road-Greystoke Avenue junction will improve traffic flow for all vehicles (reducing negative stop-start traffic impacts) and provide new road crossing facilities. The proposals include the following measures to mitigate the impacts: as a major piece of construction on a road with many residential properties, the work will be programmed carefully, while procurement could be used to look for local contractors and materials to reduce travel demand and emissions. The details of this will be established when the contractor has been chosen. The net effects of the proposals are broadly positive in terms of prioritising the use of sustainable modes of transport over private car use.	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

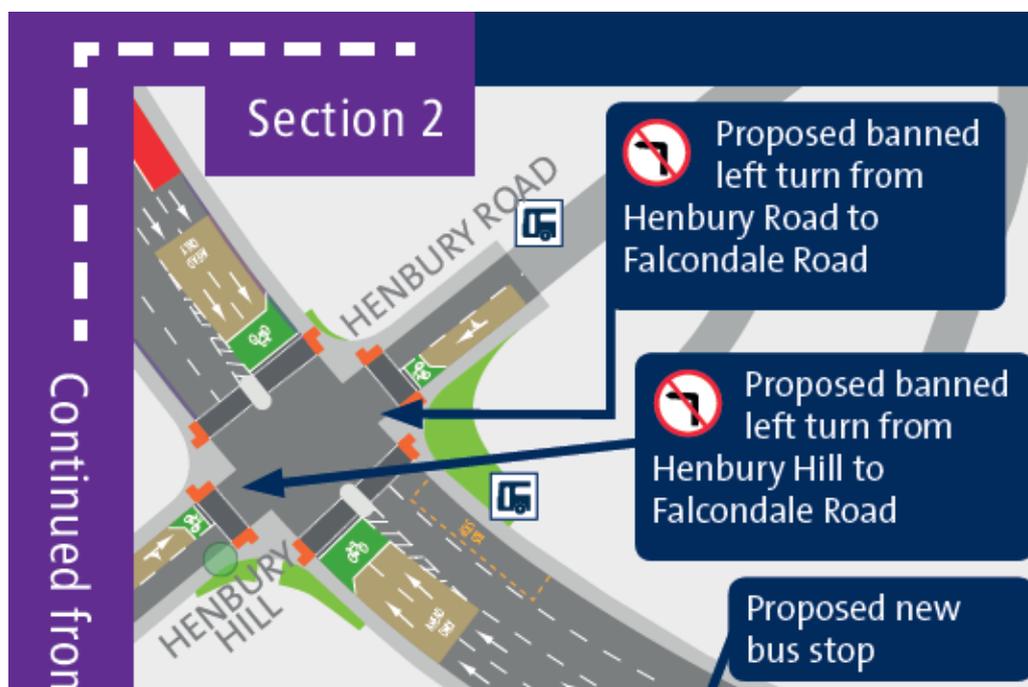
A4018 consultation: report on the results

Introduction: the consultation process

Between 4 February and 17 March 2019, non-statutory consultation was undertaken on proposals drawn up by Bristol City Council for improvements to the A4018 route in northwest Bristol. The changes were mainly developed in response to the Cribbs Patchway New Neighbourhood (CPNN) development on the former Filton Airfield site, and the new traffic that this has been forecast to generate.

The consultation was promoted through various means, including the posting of 4,700 leaflets to properties close to the road, print and radio media, social media, the BCC website, and Ask Bristol e-newsletters. To discuss the proposals, and answer face-to-face questions, council officers attended six drop-in sessions between 9 February and 16 March. It is estimated that more than 2,000 people attended these sessions, although some people attended more than one.

The scheme proposals were shown on not-to-scale plans in the leaflet and on boards displayed at the drop-in sessions, with captions used to point out key elements of the plans. In the location where prohibited (banned) movements were proposed, these were given captions. The locations where prescribed (the only option allowed) movements were proposed did not have captions but had the proposed change shown with road markings. An example is shown below.



In this example, at Henbury Hill, the proposed prohibited left turn movements out of the side roads have captions. The prescribed 'Ahead Only' movement on the main road is

shown with road markings, arrows and legend. This situation occurred in more than one location.

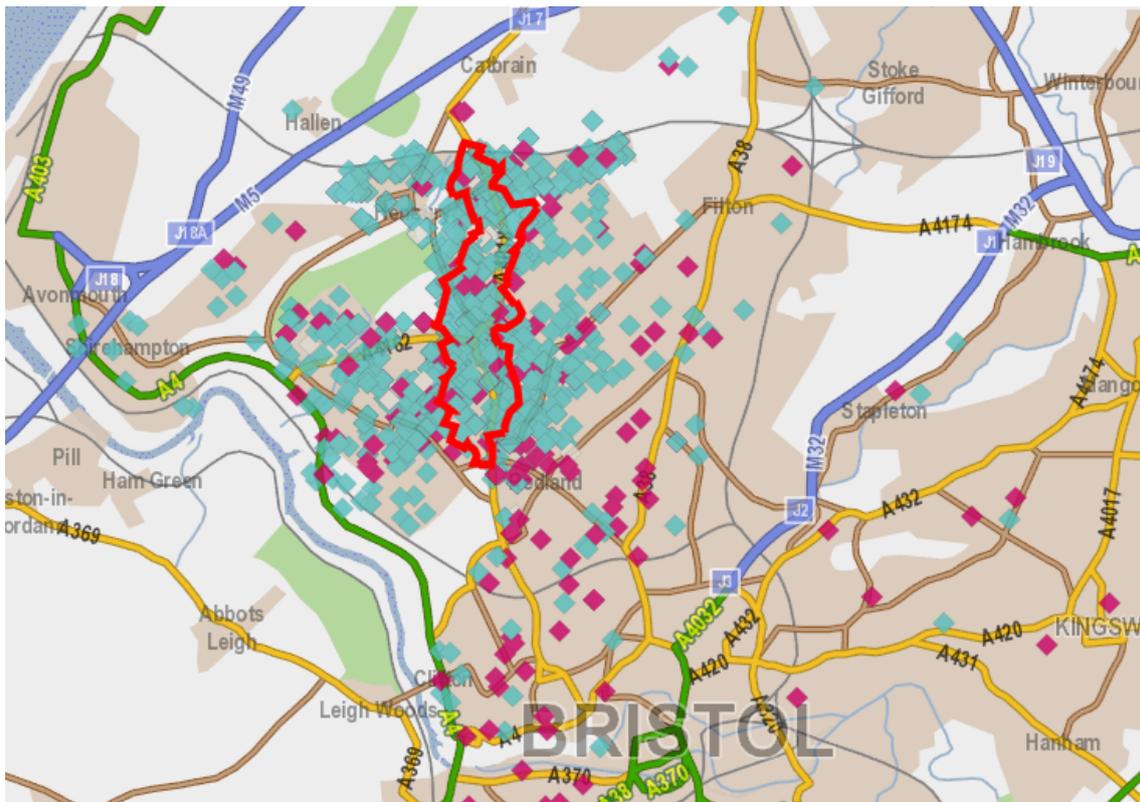
It was pointed out on the day the consultation launched that this distinction could be considered unclear. By Wednesday 6 February, the third day of consultation, clarification was added to the consultation website in the form of a list of all prohibited and prescribed movements. This list was also put into letter form and, towards the end of February, sent to all 4,700 addresses that had received the original leaflet.

Introduction: the consultation responses

The majority of feedback was received via the Bristol City Council Consultation Hub website with 2,330 questionnaires filled out online ¹ and a further 52 on paper. In addition 83 written responses were received by post and 261 by e-mail. Meetings were held to garner the views of representative groups including BS10 Parks and Planning, the Bristol Cycling Campaign, the Bristol Walking Alliance, the Westbury-on-Trym Society, the Henleaze Society, and the Henleaze Business Association. Many of these groups also submitted written responses.

The map below shows a dot for the postcode centre from which a response (all means) was received; blue dots indicate a view mainly objecting to the proposals, purple dots a broadly supportive view. There was a clear level of feeling disagreeing with the proposals as they were put forward, although those submitted from further south have a slightly larger supportive proportion.

The red line demarks the area to which the 4,700 leaflets were delivered. This shows the methods used to promote the consultation beyond the leaflet area were also very effective in encouraging correspondence.



All 2,726 responses have been read and analysed to see which parts of the proposals attracted which types of response. For the purposes of this report, the responses have been categorised into a number of themes that emerged more than once during the consultation.

¹ 629 questionnaires were partially completed and have not been considered in this analysis.

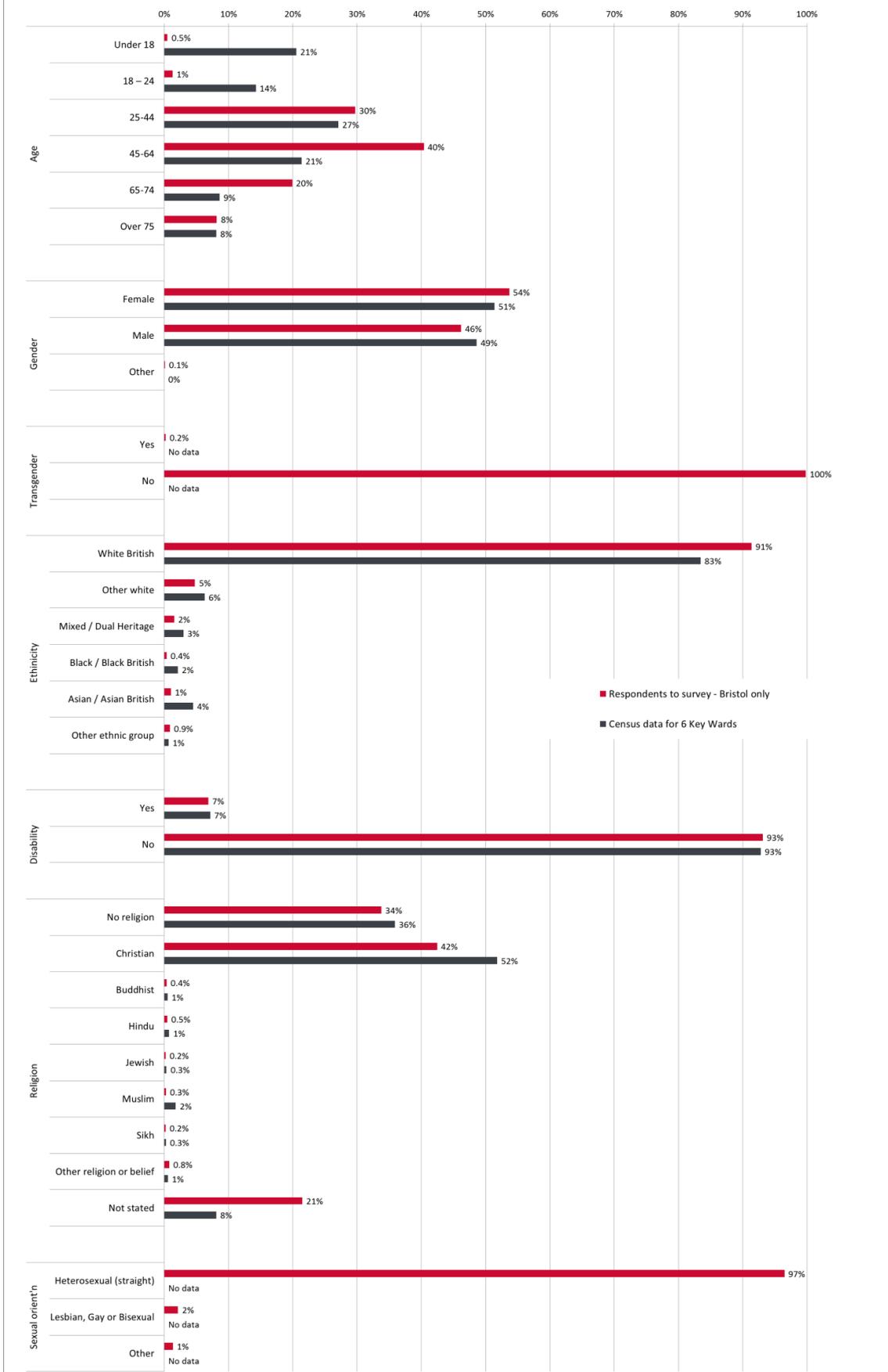
A petition entitled “No to carving up Westbury-on-Trym village and to cutting off Brentry” was started by Darren Jones MP on www.change.org. By the end of the consultation period, over 3,700 people had signed this petition.

An analysis of the equalities data provided by the consultees has been carried out, and is shown in the first of two graphs below, as compared with the population of the six wards with which the scheme makes most direct contact. In total, 76% of all the consultation respondents live in one of these six wards, which is 93% of all the respondents that live in Bristol. In terms of protected characteristics, the main points that can be drawn from this are as follows:

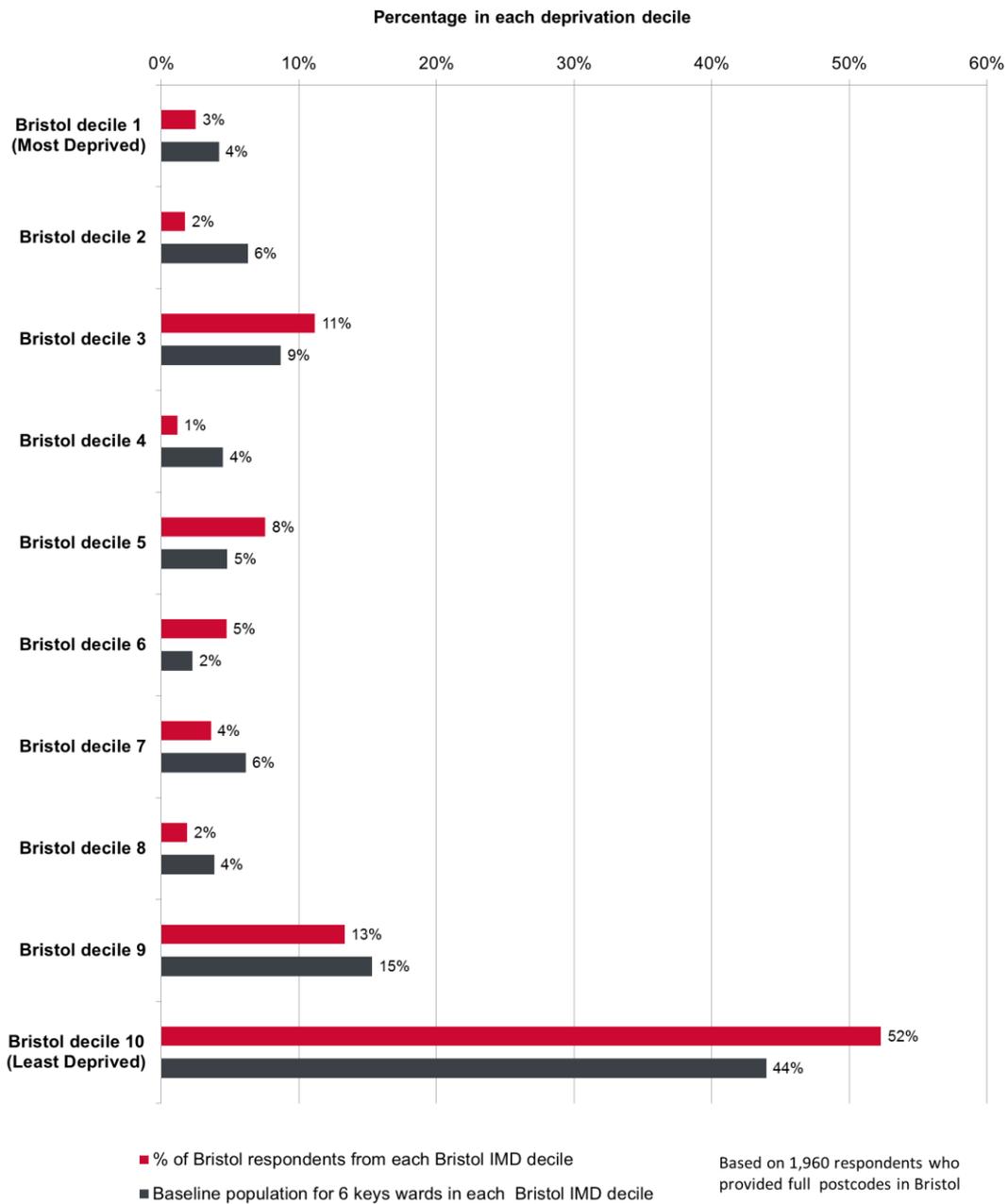
- In terms of disability, the consultation reached almost exactly the representative proportions of disabled and not disabled people.
- Regarding age, the consultation did not receive many responses from younger people, but was highly effective in reaching older consultees.
- There are no comparative numbers with which to compare the proportion of transgender consultees or those with each different sexual orientation.
- The number of responses from female consultees was larger than those from men, although there are more women than men in the relevant wards.
- A larger proportion of White British people than those represented in the overall population engaged with the consultation process.
- Respondents of no religion as well as Hindus, Jews, Sikhs, and people of “other” beliefs were relatively well represented when compared against the demographics of the 6 key areas. Christians and Muslims were less well represented. However, the fact that 1 in 5 people chose not to state a religion makes it hard to determine how effective the consultation was in reaching people with different faiths.

The second graph below has been calculated using deprivation data for the respondents from the six wards which are closest to the A4018 proposals. This shows that the respondents broadly match the deprivation profile of these six wards. The single largest response rate is from decile 10 (i.e. the 10% least deprived). Some 44% of the population of the six wards live in the 10% least deprived areas of Bristol; the proportion of respondents from these 10% least deprived parts is higher still, at 52%.

A4018 Improvements Consultation - Respondent Characteristics responses from 6 key wards



A4018 Improvements Deprivation indices for respondents from 6 key wards



What happens next?

Against each theme of the consultation, one of two conclusions is shown:

“Result: proposal recommended to be kept, this change will be made”

or

“Result: proposal recommended to be removed, no change will be made”

The former indicates where the proposal put forward and discussed during the consultation is recommended to be kept and be prepared for implementation. Where a proposal received negative comments from consultees, this report explains the reasons why it will be recommended for retention in the final scheme.

The latter indicates where the proposal put forward and discussed during the consultation is recommended to be removed and not be progressed for implementation. If one of the reasons behind this recommendation is the scale of negative comments, these will be summarised.

These recommendations have been made by the A4018 Project Team: the decision whether to adopt these will be made at Cabinet in June 2019.

Any changes that require the introduction or amendment of parking/ loading restrictions, bus lanes, or banned movements need a Traffic Regulation Order (TRO) before they can be introduced. TROs are subject to specific legislation, and need to be advertised for statutory public consultation. For any elements of these proposals which Cabinet decides to take forward and which require a TRO, statutory consultation is likely to take place in early 2020.

This report, as a summary of the proposals recommended to be retained or removed, effectively illustrates the ‘new’ set of proposals for the A4018. See the Conclusion section at the end of this document for a complete overview of the measures recommended to be taken forward and those recommended to be removed. On the pages between this introduction and the conclusion, each element of the consultation and its responses are reviewed.

The results: the consultation questionnaire

The questionnaire (identical online and on paper) was divided into eight questions, six asked respondents to state the extent to which they agree or disagree with aspects of the proposals and two questions invited free text answers. The responses provided some clear indications of consultees' views.

1. Do you agree with the proposed series of junction changes from Westbury Road and Falcondale Road to Crow Lane and Knole Lane junction? (These are intended to improve traffic flow and make it easier and safer for pedestrians to cross the road)						Response Percent	Response Total	
1	Strongly agree					5.05%	112	
2	Agree					6.41%	142	
3	Neither agree nor disagree					5.82%	129	
4	Disagree					11.14%	247	
5	Strongly disagree					71.58%	1587	
Analysis	Mean:	4.38	Std. Deviation:	1.16	Satisfaction Rate:	84.45	answered	2217
	Variance:	1.34	Std. Error:	0.02			skipped	113

This question covers nine junctions where changes of various scales were proposed. Banned movements were proposed in several locations with the intention of improving traffic flow on the A4018, some of which would have caused people making local journeys to seek diversionary routes. This led to considerable disagreement – over 80% – from local people. The very small number of undecided respondents is particularly noteworthy: these proposals produced very distinct views amongst the consultees.

In the following section of the report, the consultation results are split down by theme and this issue is broken down into the individual junction locations where it will be seen that two garnered support, one by a significant margin.

2. Do you agree with the proposed locations of the new bus lanes? (Please note that the bus lanes can be used by buses, taxis, cycles and motorcycles)

							Response Percent	Response Total
1	Strongly agree						5.36%	118
2	Agree						12.81%	282
3	Neither agree nor disagree						16.77%	369
4	Disagree						15.99%	352
5	Strongly disagree						49.07%	1080
Analysis	Mean:	3.91	Std. Deviation:	1.28	Satisfaction Rate:	72.65	answered	2201
	Variance:	1.64	Std. Error:	0.03			skipped	129

3. Do you agree that the proposed bus lanes should operate 24 hours a day?

							Response Percent	Response Total
1	Strongly agree						5.84%	128
2	Agree						7.16%	157
3	Neither agree nor disagree						11.49%	252
4	Disagree						15.82%	347
5	Strongly disagree						59.69%	1309
Analysis	Mean:	4.16	Std. Deviation:	1.22	Satisfaction Rate:	79.09	answered	2193
	Variance:	1.5	Std. Error:	0.03			skipped	137

Taking these related questions together, it can be seen that there was considerable opposition to the proposed bus lanes (over 65%) and their hours of operation (over 75%). Although there is a slightly larger number of supporters than exhibited for question one, the level of feeling is clear. As with each of these questions, further discussion is given under the relevant theme in the following section.

4. Do you agree with the proposed improvements to the shared-use path for pedestrians and cyclists on the Downs alongside the A4018?

		Response Percent	Response Total
1	Strongly agree		19.58% 429
2	Agree		30.63% 671
3	Neither agree nor disagree		27.11% 594
4	Disagree		7.85% 172
5	Strongly disagree		14.83% 325
Analysis	Mean:	2.68	Std. Deviation: 1.29
	Variance:	1.66	Std. Error: 0.03
		Satisfaction Rate: 41.93	answered 2191
			skipped 139

A shared-use path on the Downs alongside Westbury Road sees much larger agreement (50%) than disagreement (23%); 27% of respondents neither agreed nor disagreed with this proposal. A large number of comments on this part of the proposals came through outside of the questionnaire and are discussed towards the end of this report.

6. Do you agree with the proposed changes to reduce rat-running traffic driving through Westbury Village? (Buses, cycles and taxis could continue to pass through the village, but other through traffic would use Falcondale Road)

						Response Percent	Response Total	
1	Strongly agree					6.75%	149	
2	Agree					4.80%	106	
3	Neither agree nor disagree					6.43%	142	
4	Disagree					13.22%	292	
5	Strongly disagree					68.80%	1519	
Analysis	Mean:	4.33	Std. Deviation:	1.2	Satisfaction Rate:	83.13	answered	2208
	Variance:	1.45	Std. Error:	0.03			skipped	122

Generating almost the same level of disagreement as the proposed junction changes, the plans to reduce rat-running through Westbury Village were highly unpopular with the consultees. This matter is given further discussion in the following section.

7. Do you agree with the proposal to install a zebra crossing in Westbury Village near Shipley Road?

						Response Percent	Response Total	
1	Strongly agree					27.02%	593	
2	Agree					38.00%	834	
3	Neither agree nor disagree					27.11%	595	
4	Disagree					2.82%	62	
5	Strongly disagree					5.06%	111	
Analysis	Mean:	2.21	Std. Deviation:	1.03	Satisfaction Rate:	30.23	answered	2195
	Variance:	1.07	Std. Error:	0.02			skipped	135

The proposal for a zebra crossing close to Westbury-on-Trym primary school was agreed with by 65% of respondents, with 8% disagreeing. The consultation included a request to discuss the preferred location of the crossing (north or south of the junction with Shipley Road) which did not receive a great deal of engagement. The information received with regards to matters such as the type of crossing and whether amendments to small sections of parking be made to accommodate it, will be discussed with the school and the local ward members before reaching agreement on a design to progress.

The results: categorised into major themes

This section of the report is arranged into approximate north to south order along the A4018 so that the reader can find areas of particular interest. This format mainly follows the online Frequently Asked Questions. Where a particular section of proposals relate closely to each other, and have a similar outcome, they are grouped for ease of reference.

No bus lanes north of Crow Lane

Result: proposal recommended to be kept, this change will be made (i.e. there will be no bus lanes introduced north of Crow Lane)

Comments in favour	Comments against
2	8

It is not proposed that any bus lanes are put in place north of Crow Lane. Given the distance from the city centre, demand for bus travel is limited without a particular generator such as a Park and Ride site or the proposed new Henbury station. While outside the scope of this project, consideration of a Park and Ride site for the A4018 is being given by WECA and could be investigated in the next few years; the new station at Henbury is part of the MetroWest project currently at an early stage of development.

Several people commented that this section of road is heavily congested at many different times of day, and believed bus lanes should be proposed. Introducing bus lanes here in the future remains a possibility, but not as part of this scheme.

Introduction of a 30mph speed limit starting immediately north of Crow Lane

Result: proposal recommended to be kept, this change may be made (pending further investigation)

Comments in favour	Comments against
897	764

The only change proposed north of Crow Lane roundabout was to introduce a 30mph limit (currently 40mph until a point north of the junction with Charlton Road) to promote safer traffic speeds through and beyond the junction. This change would make the entirety of Passage Road a 30mph limit.

Some residents reported that traffic speeds at certain times of day are felt to be very high in this area, and a majority of the comments received were in favour of reducing the speed limit (including some advocating a further decrease to 20mph); however, a high number of consultees considered that 40mph remained appropriate.

The proposed new speed limit will be investigated to ensure that technical data and public opinion support a reduction to 30mph before any change is made. This investigatory work will commence soon, but it does not necessarily mean that the change will be made. Any speed limit would be enforced by the Police.

A signalised crossroads at Crow Lane to replace the roundabout, including a banned right turn from Passage Road to Knole Lane

Result: proposal recommended to be removed, no change will be made

Comments in favour	Comments against
97 (roundabout to junction)	226 (roundabout to junction)
10 (banned right turn to Knole Lane)	527 (banned right turn to Knole Lane)
107 (total)	753 (total)

This proposal generated many comments, the majority of which related to the proposed banned right-turn movement from Falcondale Road onto Knole Lane.

The proposal for a signalised junction was designed to increase the capacity of this junction, allowing more vehicles to get through it from all directions and improving the pedestrian facilities, which was recognised by many consultees. However, a large number of people, including local businesses, highlighted they use the roundabout to turn around as well as to turn left or right, and being unable to do so could have resulted in more journeys being made on unsuitable local roads as diversionary routes.

Taken in association with the proposed banned right turn from Passage Road to Charlton Road (other than for buses), this element of the scheme attracted attention for the longer journeys that would be necessitated to reach parts of Brentry. Journeys to the doctors' surgery close to the junction, for example, would be made less convenient for some users if this proposal was retained.

Close attention has to be paid to the social value of the changes proposed, and any possible impact on social inclusion must be carefully considered. The capacity improvements to the junction would not be possible without the banned turn into Knole Lane, so keeping this turn is intrinsically linked to whether the roundabout is removed or not.

It is therefore recommended that no changes are made to the form of the junction in this location. Possible aesthetic improvements will be investigated to see what environmental enhancements can be made to the location as a 'gateway to Bristol'. The existing pedestrian crossings will also be examined to see if upgrades to the facilities are possible.

Inbound and outbound bus lanes from Crow Lane to Greystoke Avenue

Result: proposal recommended to be kept, this change will be made (in part)

Comments in favour	Comments against
193 (bus lanes)	1,011 (bus lanes)
91 (24-hour bus lanes)	624 (24-hour bus lanes)
284 (total)	1,635 (total)

There were two principal issues raised by consultees who expressed concerns about the bus lanes. The first was that existing capacity would be removed, and the second that 24-hour bus lanes should not be proposed without a 24-hour bus service.

Dealing with the first of these, although parts of Passage Road operate with two lanes, there are locations where this is removed entirely or in sections, such as on the southbound approach to the junction with Charlton Road. The introduction of bus lanes would change the point at which two lanes for general traffic become one without greatly affecting capacity, while formalising the use of the inside lane by buses using the bus stops. Many consultees commented that the road only suffers congestion during peak times, which is when buses would benefit most from the bus lanes.

As to the proposal for the bus lanes to operate 24 hours a day, this is seen as the situation that would be most beneficial when the CPNN development is fully occupied with the possibility of an express bus service using the A4018 to access it, and the potential of a future Park and Ride site.

In the short-term, however, the current number of services does not quite require 24-hour bus lanes throughout. Where current road space is being transferred to be a bus lane (in- and outbound between Crow Lane and Charlton Road), these lanes will operate only in the morning and evening peak hours. These peak hours will be something like 7.30-9.30am and 4.30-6.30pm, although this will be confirmed during the TRO process. The new inbound bus lane from Charlton Road to Greystoke Avenue, created by widening the carriageway, will operate 24 hours a day.

In relation to this question, many respondents provided general complaints about buses and bus services. Such comments are outside the scope of this project, but will be forwarded to the companies via the council's regular liaison with them.

A new signalised pedestrian crossing close to Dragonswell Road

Result: proposal recommended to be kept, this change will be made

Comments in favour	Comments against
32	2

This proposal generated little comment, those received being overwhelmingly in favour.

Traffic calming for Breentry Lane

Result: proposal recommended to be kept, this change will be made

Comments in favour	Comments against
7	3

Few comments were also received on this proposal. The issue of speeding vehicles on this road is mainly in a southbound direction with people from Breentry aiming for the southbound A4018 without having to use the Crow Lane roundabout. One resident suggested that chicanes be used to narrow the road on the southbound side to discourage excess speed, which will be put forward to the council's designers to work up into the more detailed plans.

Right turn into Charlton Road banned except for buses

Result: proposal recommended to be removed, no change will be made

Comments in favour	Comments against
8	393

Especially taken in conjunction with the proposed ban on turning right from Passage Road to Knole Lane, this element of the scheme attracted a lot of attention for the longer journeys that would be necessitated to reach parts of Brentry if retained in the final scheme. In addition, access to the Free School and St Peter's Hospice would have been less convenient for those approaching from the south. As a counterpoint to this, though, several consultees commented that Charlton Road was not a suitable road for the amount of traffic on it now and felt that some kind of restriction could have been beneficial.

Although Charlton Road has been identified as a route for buses to the central part of the CPNN development – to the extent that South Gloucestershire Council have commenced building bus lanes at the northern end of it – this will not be in place for several years and cannot be used to justify the level of short- to medium-term diversion that would be caused to many journeys. It cannot be ruled out that some kind of bus priority may be considered here in the future, but no change to the current junction layout is proposed at the moment and any future proposals would be subject to public consultation.

Changing the Falcondale Road-Greystoke Avenue junctions into a signalised junction

Result: proposal recommended to be kept, this change will be made

Comments in favour	Comments against
151	35

Although the change here is wrapped up in the significant objection to the question about changes to junctions, the views of consultees are strongly in favour of signalising this particular junction. It is recognised that the junction would operate more efficiently with signals and that it would be easier for pedestrians, including children on the way to both nearby schools, to cross the road.

Several turning movements banned at Falcondale Road-Henbury Road-Henbury Hill

Result: proposal recommended to be removed, no change will be made

Comments in favour	Comments against
9	522

The changes proposed at this junction generated the most correspondence with consultation responses making it clear that an unintended consequence would be a number of local journeys made longer and more difficult. In addition to increased lengths of journeys – with the resultant negative impact in terms of traffic and pollution – there was the concern that unsuitable local roads could become rat-runs; in this case, Northover Road was identified as likely to become busier.

The junction of Falcondale Road with Henbury Road-Henbury Hill will be investigated for refurbishment to provide the most up-to-date pedestrian facilities and to link it to the council's traffic signals network so it can communicate with nearby junctions and the council's control room. The refurbishment will be like-for-like in terms of the movements allowed.

See also the section on Westbury Village for possible future considerations.

Proposed no exit from Hillsdon Road to Henbury Road

Result: proposal recommended to be removed, no change will be made

Comments in favour	Comments against
8	48

The reasoning behind this proposal was to remove the level of rat-running about which residents of Southdown Road and Hillsdon Road have complained to the council over a number of years. However, a large number of consultees noted that the junction of Southdown Road with Falcondale Road, that all traffic from the area would be required to use, is perceived to be dangerous.

In order to combat the rat-running problem, an alternative suggestion came up when discussing the matter with local people. If fewer banned movements are taken forward at the Falcondale Road-Henbury Road junction, rather than closing off the exit of Hillsdon Road to Henbury Hill, the problem could be equally well tackled by closing the junction of Southdown Road with Falcondale Road. All residents would leave and enter their neighbourhood via Henbury Hill and the junction with perceived safety concerns would be removed from the network. This matter would be the subject of further targeted local engagement before anything is taken forward.

See also the section on Westbury Village for possible future considerations.

Turning movements banned at Falcondale Road-Canford Road and Falcondale Road-Canford Lane, with changes to the junction of Canford Road and Canford Lane
Result: proposal recommended to be removed, no change will be made

Comments in favour	Comments against
23	157

As with other junctions with proposals to ban movements, the consultation responses made it clear that an unintended consequence would be a number of local journeys made longer and more difficult, with the associated negative impacts, and the possible introduction of new rat-runs. With the removal of other banned turn proposals at related junctions on Falcondale Road, this element would also generate reduced benefits.

The provision of a pedestrian crossing over Canford Road that would be introduced with the proposal to signalise the Canford Road and Canford Lane junction was popular with many consultees. Based on the fact that the larger junction change is no longer recommended, the council will investigate the provision of a stand-alone pedestrian crossing in the vicinity of the cemetery entrance on which separate consultation will be carried out if a workable design can be produced. A survey of vehicle speeds will determine whether this crossing will be a zebra or a puffin crossing.

The two further junctions of Falcondale Road with Canford Road and with Canford Lane will be investigated for refurbishment to provide the most up-to-date pedestrian facilities and to link them to the council's traffic signals network so they can communicate with nearby junctions and the council's control room. The refurbishment will be like-for-like in terms of the movements allowed.

See also the section on Westbury Village for possible future considerations.

Left turn only into and out of Westbury Court Road, Lampeter Road, and Abbey Road

Result: proposal recommended to be removed, no change will be made

Comments in favour	Comments against
18	150

As with other junctions with proposals to ban movements, the consultation responses made it clear that an unintended consequence of this proposal was a number of local journeys made longer and more difficult, with the associated negative impacts, and the possible introduction of new rat-runs. With the removal of other banned turn proposals at related junctions on Falcondale Road, this element would also generate reduced benefits.

See also the section on Westbury Village for possible future considerations.

Right-turn ban from Falcondale Road to Stoke Lane

Result: proposal recommended to be removed, no change will be made

Comments in favour	Comments against
19	159

As with other junctions with proposals to ban movements, the consultation responses made it clear that an unintended consequence of this proposal was a number of local journeys made longer and more difficult, with the associated negative impacts, and the possible introduction of new rat-runs. With the removal of other banned turn proposals at related junctions on Falcondale Road, this element would also generate reduced benefits.

The junction of Falcondale Road with Stoke Lane will be investigated for refurbishment to provide the most up-to-date pedestrian facilities and to link it to the council's traffic signals network so it can communicate with nearby junctions and the council's control room. The refurbishment will be like-for-like in terms of the movements allowed.

See also the section on Westbury Village for possible future considerations.

All changes in Westbury Village, including the proposed restriction for High Street, new and reversed one-ways, and the closure of Stoke Lane at the roundabout

Result: proposal recommended to be removed, no change will be made

Comments in favour	Comments against
101 (closing High Street to private cars)	1,600 (closing High Street to private cars)
29 (changes to one-way roads)	274 (changes to one-way roads)
14 (closing Stoke Lane at the roundabout)	255 (closing Stoke Lane at the roundabout)
144 (total)	2,129 (total)

The principal aim of the proposals to restrict access through Westbury Village to private cars was to reduce what was believed to be a significant problem with north-south rat-running avoiding actual or perceived congestion on the A4018. The consultation responses, however, made clear that there is as much, if not more, demand for east-west movements to and from localities such as Sea Mills, Stoke Bishop, Southmead, and Filton.

Some consultees asked whether the restriction could be applied only at certain times. This would have been very difficult to sign and enforce, as shown by the timed 'No Entry' on Roman Road by Blackboy Hill; the enforcement of banned turns is the responsibility of the Police and not the council.

With regards to the proposed amendments to the one-way restrictions on Trym Road, College Road, and Church Road, these had been designed to make the already well-used rat-run of Chock Lane less attractive. However, consultees made many valid comments around the unintended consequences, not least the possible increase in demand for Chock Lane as an alternative – however unsuitable – to a restricted High Street. In addition, the dimensions of Church Lane, and the businesses located at one end, could make it an inappropriate route for higher levels of traffic if this proposal was retained. With regard to the other side of the roundabout, many were concerned that the proposed restriction of Stoke Lane would put extra traffic on Southfield Road or, particularly, Cambridge Crescent.

The proposals in the village, in association with the banned turns suggested on some of the junctions with roads into and out of the village, would result in some people with specific journeys facing longer journeys for trips they made regularly. The high level of demand to use services in the village by car-dependent elderly and disabled residents also made the proposed restrictions appear to have a potentially damaging effect, which was far from the intention. Many consultees raised concerns regarding regular access to banks, the health centre, the churches, and moving between the two car parks if one were full.

A lot of consultees from Stoke Bishop responded to the effect that they considered Westbury to be their village centre. Although Henleaze Road-Northumbria Drive is very close to Westbury Village to the southeast, responses received show Westbury Village attracts considerable patronage from residential areas to the west.

Although there was a significant majority of consultees responding against these various proposals, there was no unanimity. The Bristol Walkers Alliance and Bristol Cycling

Campaign were both in favour of these elements of the scheme. Aspects of what the restrictions were trying to achieve found favour with other local consultees and bodies.

This consultation has raised awareness in the local community of current and likely future problems with traffic through Westbury Village. The council plans to work with ward members, the MP, and then representative groups to use a community-led approach to see if a consensus can be reached on how the A4018 could be improved between and including the junctions with Stoke Lane and Canford Road, and throughout the village. Other issues that were not in the scope of this project were raised, such as concerns over unofficial park and ride and other parking and loading concerns; these could be included in this new round of engagement.

While this is done, the preparation of TROs and mobilisation of contractors for the improvements that have been retained to the north and south will proceed. Changes to and around Westbury Village, developed with the local community, could then form a later phase of the A4018 project. This separation is set out more clearly in the Conclusion.

Signalisation of the Falcondale Road-Westbury Road junction, including left-turn only movements into and out of Downs Road

Result: proposal recommended to be kept, this change will be made

Comments in favour	Comments against
47 (junction signalisation)	24 (junction signalisation)
13 (turning movements for Downs Road)	30 (turning movements for Downs Road)
60 (total)	54 (total)

As with the junction of Greystoke Avenue and Falcondale Road, the change here is wrapped up in the significant objection to the question about changes to junctions. Again the views of consultees are mainly in favour of signalising this particular junction. It is recognised that it would be significantly easier for pedestrians, especially children on the way to the four local schools, to cross the road where the current zebra crossings have somewhat restricted visibility, therefore this change will be retained.

The new shared-use path on the Down alongside Westbury Road

Result: proposal recommended to be kept, this change will be made

Comments in favour	Comments against
530	213

Although the level of support for this element barely surpassed half from responses to the questionnaire, a large number of people provided positive comments on it separately. For this reason, it is suggested that this element of the scheme be retained.

Agreement will also be required from the Downs Committee (whose Place and Movement sub-group support the proposal in principle as part of their aspirations for more leisure cycling routes on the Downs), which will be sought in due course. It is also the only element of the scheme that is not on public highway and will therefore require a planning application. As part of this process, detailed discussions will be held with groups representing people with disabilities, pedestrians, and cyclists to ensure the most appropriate and safest design in terms of access to the path, speeds of cycling, and whether the path is segregated, physically or by painted markings.

Further improvements for cyclists

Several hundred free text responses on possible future cycling provision provided a lot of useful input with elements that can and will be given design consideration; internal discussion on some of the suggestions has already commenced. There appears to be strong feeling that cycling facilities along and around the A4018 should and can be improved.

Some responses were very specific and looked at highly detailed or localised matters; it is not possible to respond to all of these. However, despite the large number of correspondence on cycling matters, a few themes did emerge (in order of number of comments):

1. Many respondents indicated a preference for continuous AAA (high quality All Ages and Abilities) cycle paths, fully segregated from both traffic and pedestrians. Due to available road and pavement width, this isn't always something that can be achieved, but it will be prioritised where possible.
2. Shared-use paths were supported by a smaller number of consultees. Given that many people pointed out how wide pavements are on Falcondale Road – and with few pedestrians – this could be progressed more easily where appropriate. Both the Bristol Cycle Campaign and Bristol Walkers Alliance requested that 4m be considered the minimum width for such a facility, rather than the 3m used in other locations in the past.
3. On-road cycle lanes also had support, but were sometimes brought up to draw the council's attention to the fact that existing lanes can be the victim of inconsiderate parking or have poor road surfaces that make them difficult and dangerous to use.
4. As a representation that no group of road users are homogenous, some cyclists commented that not enough cycling provision was being proposed and wanted to see a lot more.
5. On the other hand, there were a small number of comments made about cyclists, their speed, and what is often seen as inconsiderate behaviour. These consultees did not want to see additional works done to benefit cyclists.

South of Crow Lane, the proposal for a widened central reserve with tree planting to accompany bus lanes wide enough to accommodate cyclists was specifically discussed with the Bristol Cycling Campaign and Bristol Walking Alliance, as well as some of the local ward members and some consultees. Consultees voiced concerns this design would effectively promote bus lanes as part of a safe cycling provision. There was widespread feeling that a better use of road space would be to retain the existing central reserve and introduce standard width lanes (approx. 3.2m-3.5m) for the bus lanes as well as for general traffic. The space gained in this way would allow introduction of a cycle path off the carriageway. The tree planting envisaged could be provided in the verge rather than in the central reservation.

As a result of this feedback, two different designs have been prepared for the section of road between Crow Lane and Greystoke Avenue. One is for a shared-use path on the eastern side of the road, the other is for a fully segregated path in each direction. The latter, which is more expensive to build, provides a better facility. Both are currently being

investigated to determine which would be the best to take forward. The fully segregated route is currently the preferred option to be constructed alongside the bus lane works, but it may require some additional funding to be levered.

Given the level of support for investigating and promoting future improvements to cycling provision, design ideas will be given ongoing consideration. If particular changes are not possible through this scheme, potential future funding bids will be investigated where relevant.

Conclusion: what the A4018 scheme now looks like

Using the questions asked during the consultation process, and other issues raised by the consultees through comments and the feedback given to officers in person, a clear picture has emerged of what improvement proposals on the A4018 have a degree of local support. Each area has been discussed above in detail and a summary is provided below of the elements and whether the recommendation is to progress or withdraw the proposal. This revised proposal will be taken to Cabinet for a decision.

Works recommended for approval

The first section of items recommended to be taken forward towards the production of Traffic Regulation Orders (TROs), detailed design, site investigations, and procurement of a contractor are:

- No changes at the Crow Lane roundabout other than the investigation of possible environmental enhancements and checking whether the pedestrian crossing facilities can be improved.
- Investigation of introducing a new 30mph speed limit at Crow Lane to cover the whole of Passage Road.
- A new signalised pedestrian crossing north of Dragonswell Road.
- Traffic calming measures on Brentry Lane.
- A segregated cycle route or shared-use path, north- and south-bound, between Crow Lane and Greystoke Avenue.
- Inbound and outbound bus lanes, operative in the morning and evening peak hours, from Crow Lane to Charlton Road.
- An inbound bus lane, operative 24-hours a day, on new carriageway from Charlton Road to Greystoke Avenue.
- Full junction upgrade and signalisation of Falcondale Road-Greystoke Avenue.
- Investigation of like-for-like refurbishment of the existing traffic signal junctions of Falcondale Road with Henbury Road/ Henbury Hill, Canford Road, Canford Lane, and Stoke Lane.
- Installation of a pedestrian crossing on Passage Road close to Westbury-on-Trym primary school.
- Investigation of options to provide a pedestrian crossing on Canford Road west of the junction with Canford Lane.
- Full junction upgrade and signalisation of Falcondale Road-Westbury Road.
- Construction of the new shared-use path on the Downs, subject to external permissions.
- Investigation of the installation of B-Net, the council's fibre optic network, from its current end point at Blackboy Hill all the way up the A4018 to Greystoke Avenue or Crow Lane; other communication options will also be explored.

Areas for future community engagement

A further set of measures are recommended to be withdrawn from the proposals to allow engagement with local stakeholders to develop new scheme designs.

This consultation has raised awareness in the local community of current and likely future problems with traffic through Westbury Village. The council plans to work with ward members, the MP, and then representative groups to use a community-led approach to see if a consensus can be reached on how the A4018 could be improved between and including the junctions with Stoke Lane and Canford Road, and throughout the village, considering:

- Upgrades of the existing traffic signal junctions of Falcondale Road with Henbury Road/ Henbury Hill, Canford Road, Canford Lane, and Stoke Lane.
- Measures to restrict unsuitable levels of traffic using Westbury Village, potentially including changes to the junctions of Westbury Court Road, Lampeter Road, and Abbey Road with Falcondale Road.
- Cycling facility improvements between the junctions of Falcondale Road with Greystoke Avenue and Westbury Road, both on and off the A4018.
- A means of restricting rat-running movements on Southdown Road and Hillsdon Road between the A4018 and Henbury Hill.

Elements removed from recommended scheme

A number of other measures that formed part of the consultation are not currently proposed for installation or re-design:

- Conversion of the Crow Lane roundabout to a signalised junction with a possible banned turn from the A4018 to Knole Lane.
- Banning right turns from the A4018 to Charlton Road for all vehicles other than buses.
- In- and outbound bus lanes north of the Crow Lane junction.

Bristol City Council Equality Impact Assessment Form

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



Name of proposal	A4018 corridor improvements
Directorate and Service Area	Growth and Regeneration, Economy of Place
Name of Lead Officer	Steve Riley, Project Manager

Step 1: What is the proposal?

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

1.1 What is the proposal?

Mitigation of the likely traffic impacts of the major new Cribbs Patchway New Neighbourhood (CPNN) development in South Gloucestershire through the implementation of a public transport corridor comprising in- and out-bound bus lanes and upgraded traffic signal junctions that will also improve the environment for pedestrians and cyclists.

The provision of a more reliable and resilient bus network will benefit anyone who relies on public transport to travel on this corridor, including those who require low-floor buses for wheelchair and pushchair access. Each traffic signal junction will see the signals upgraded to improve traffic flow on the main corridor while providing wider and more convenient pedestrian crossing facilities.

Alongside the improved provision for sustainable modes of transport, the proposals on which consultation was undertaken also included restrictions to private car use in Westbury Village. Following the consultation, these proposals will no longer be taken forward but will be replaced by carrying out engagement with a 'blank sheet of paper' to seek the views of local members and representative groups in achieving similar benefits in an alternative way.

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 changes proposed by this project are very similar to those made on Bath Road, Fishponds Road, and Whiteladies Road by the GBBN (Greater Bristol Bus Network) project between 2008 and 2012, which was subjected to its own EqlA. During the consultation for GBBN, and an EqlA workshop, a number of themes related to equalities emerged that will be used to inform this project.

The BCC website contains a substantial amount of equalities data and research, at <https://www.bristol.gov.uk/statistics-census-information/new-wards-data-profiles>. The information here could be used to identify areas where there are potentially concentrations of people from certain protected characteristics along the corridor.

For the five wards that cover the majority of the route (Henbury and Brentry, Redland, Southmead, Stoke Bishop, and Westbury-on-Trym and Henleaze), the following information appears relevant:

- A higher than average population of older people aged 65+ (17.5% compared to 13% for Bristol overall).
- 30% of people with a limiting illness, health problem or disability (as asked in the 2017 Quality of Life survey), two higher than the average for Bristol overall.
- A higher than average number of cars per household (1.2 compared to 1.04 for Bristol overall).
- A satisfaction level with local bus services of 43.8%, higher than the 40% of Bristol overall.
- 24% of people who cycle to work at least once a week (this data for Westbury-on-Trym and Henleaze only).

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

It appears that the likelihood for significant negative impacts is limited (see Section 3) and that further investigation may not be necessary.

A summary of how well the consultation process reached the various equalities strands mentioned in Section 2.1 can be found in the table below:

<u>Protected characteristic</u>		<u>%</u>
Age 65+	Consultation	27
	Ward data	17.5
No religion	Consultation	34
	Ward data	34.6
Christian	Consultation	42
	Ward data	53.0
Other	Consultation	24
	Ward data	12.3
White British	Consultation	76
	Ward data	83.5
BME	Consultation	7
	Ward data	10.6
Other	Consultation	17
	Ward data	5.9
Disability	Consultation	6
	Ward data	30.0

In terms of reaching the elderly population, the consultation was extremely successful. The large numbers of people that chose 'prefer not to say' against the other three questions skews the figures slightly.

If it appears that the outreach to disabled people is lacking, it is worth noting that the ward data is from the Quality of Life question about "a limiting illness, health problem or disability" and that there were 14% of consultees who preferred not to answer the question. A description of how we will try to rectify this lack can be found in the following answer.

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

Public consultation was carried out between 4 February and 17 March 2019. Using the knowledge of ward members, representative local groups were involved in this process.

Correspondence was held with BPAC (Bristol Physical Access Chain), although they were unable to attend a planned meeting. The current proposals for a Phase Two of the scheme that involves public engagement for Westbury Village will provide a further opportunity for more detailed discussions.

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 are not aware of any negative impacts at this stage. The improvement of public transport reliability, facilities for accessing it, and more and better means of crossing the roads are benefits that can be enjoyed by anyone using or living in the area, particularly as the traffic signal junction refurbishments or upgrades will replace old equipment that does not include tactile cones on the pedestrian crossing push button.

The proposed removal of access through the centre of Westbury Village by cars was raised as detrimental in various ways through the consultation. As well as comments about retail vitality, many elderly and disabled people stated that it would make their ability to access and use the village more difficult (including such facilities as the doctors' surgery, banks, and churches. Taking into account all such comments, we have removed the proposed restrictions and will instead carry out engagement with a 'blank sheet of paper' to seek the views of local members and representative groups, including equalities groups, in achieving similar benefits in an alternative way.

Responses to consultation with equalities groups on GBBN raised a number of concerns that were beyond the scope of an infrastructure construction project. These included: poor level of detail on on-bus audio announcements, lack of driver awareness of equalities issues, and concerns over bus services including withdrawal. These issues were not specifically raised again in consultation for this scheme, but if raised at a later stage will be passed to the bus operators via BCC's regular liaison with them.

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

Consultation responses from elderly and disabled residents have already been an element in removing elements of the scheme as it was consulted upon. As noted above, the opportunity for further input has been guaranteed in advance of new proposals emerging.

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

As regards access to or participation in a service, the improved reliability of buses using the A4018 corridor will be a benefit for anyone who uses them and especially those that rely on them, while encouraging a sustainable and healthier means of transport. New bus stops will improve access to these buses, and new pedestrian crossings will improve the access to the stops. The bus stops will also be of the 'safe haven' design with new paving, shelters, lighting, CCTV, and information including real-time information.

The quality of life for anyone living on the A4018 will be improved by public transport taking the place of the forecast increase in the number of cars using the corridor after CPNN is built.

3.4 Can they be maximised? If so, how?

The design will maximise all the potential benefits as far as practicable, while further consultation with equalities groups will be used to ascertain whether further specific improvements could be made.

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?

Consultation with elderly and disabled residents has led to a change in which elements of the design have been taken forward towards construction.

4.2 What actions have been identified going forward?

The engagement for Westbury Village planned with local members and groups will be planned carefully to ensure it involves the relevant groups representing local equalities bodies.

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

Evaluation of the A4018 improvements as a public transport corridor (such as reductions in traffic queues and increased bus patronage) will be measured regularly to ensure the funding has been spent appropriately (although construction is not due to commence until 2020). Any complaints will be monitored for possible equalities concerns and contact made with the relevant group to discuss any such issues.

Service Director Sign-Off:



Nuala Gallagher

Date: 31/05/19

Equalities Officer Sign Off:



Duncan Fleming

Date: 9/5/2019

Eco Impact Checklist

Title of report: A4018 results of consultation report, request to submit FBC to WECA				
Report author: Steve Riley				
Anticipated date of key decision: Cabinet, 4 June				
Summary of proposals:				
<ol style="list-style-type: none"> 1. To present the report on the results of the A4018 consultation (undertaken February-March 2019). 2. To introduce the amended scheme as taking into account the findings of the consultation. 3. To seek approval from Cabinet to submit a Full Business Case (FBC) to WECA (West of England Combined Authority) for the LGF (Local Growth Fund) Pinchpoint funding earmarked for the northern part of the corridor (£1.625m), and to use Section 106 funding from the Cribbs-Patchway New Neighbourhood (CPNN) development, via South Gloucestershire Council, for the southern elements. 				
Will the proposal impact on...	Yes/ No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	Y	+ve/ -ve	<p>The project includes the introduction of new improvement measures to encourage the use of sustainable modes of transport (better walking and cycling facilities and bus priority) to reduce reliance on private cars.</p> <p>Construction works will provide short term negative emissions.</p>	Consider contractor travel: during procurement, look to procure local contractors/ materials where possible.
Bristol's resilience to the effects of climate change?	Y	+ve	See above.	See above.
Consumption of non-renewable resources?	Y	-ve	While some construction materials will be required, the possibility of these being recycled will be fully investigated.	<p>Ensure contractors use sustainably sourced materials where possible. Utilise advancements in technology to minimise the volume of non-renewable resources.</p> <p>Currently some recycled materials are used for road surfacing, research</p>

				<p>is being undertaken to use innovative technologies such as plastic roads for future works; continue to research this option.</p> <p>Consider contractor travel: during procurement, look to procure local contractors/ materials where possible.</p>
Production, recycling or disposal of waste	Y	-ve	Construction will generate waste	Ensure all waste is disposed of legally, according to the waste hierarchy and legislation.
The appearance of the city?	Y	-ve/ +ve	<p>During construction, there could be negative impacts from large-scale construction works close to residential properties.</p> <p>In all transport schemes such as this, the possibility for tree planting will be examined in every possible location.</p>	<p>The full possible mitigation will depend on the contractor selected and their programme; the most intrusive works could be planned outside term times, for example.</p> <p>The Bristol Tree Replacement Strategy will be complied with in full if any trees need to be removed.</p>
Pollution to land, water, or air?	Y	+ve	See first answer with reference to how air pollution will be combatted; no relevance to land or water pollution.	None required.
Wildlife and habitats?	Y	-ve/ +ve	<p>Investigations into environmental enhancements on roundabouts</p> <p>In all transport schemes such as this, the possibility for tree</p>	<p>Within this include improvements to biodiversity – Take advice from BCC ecology officer if needed.</p> <p>The Bristol Tree Replacement Strategy will be complied with in</p>

		planting will be examined in every possible location.	full if any trees need to be removed.
Consulted with: Ward members, a number of representative groups from local areas, and 3,300 members of the public.			
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>			
<p>The significant impacts of this proposal are to: introduce measures to encourage the use of sustainable transport modes through new walking and cycling infrastructure and bus priority measures on the A4018 Passage Road and Falcondale Road. In addition, improvements to the Falcondale Road-Greystoke Avenue junction will improve traffic flow for all vehicles (reducing negative stop-start traffic impacts) and provide new road crossing facilities.</p> <p>The proposals include the following measures to mitigate the impacts: as a major piece of construction on a road with many residential properties, the work will be programmed carefully, while procurement could be used to look for local contractors and materials to reduce travel demand and emissions. The details of this will be established when the contractor has been chosen.</p> <p>The net effects of the proposals are broadly positive in terms of prioritising the use of sustainable modes of transport over private car use.</p>			
Checklist completed by:			
Name: Steve Riley			
Dept.: Economy of Place			
Extension: 36715			
Date: 30 April 2019		02/05/2019	
Verified by Environmental Performance Team		Nicola Hares – Environmental Project Manager	

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 18 June 2018

TITLE	Tree management contract and strategy		
Ward(s)	<i>All wards</i>		
Author: Richard Fletcher	Job title: Parks Services Manager		
Cabinet lead: Councillor Craig	Executive Director lead: Colin Molton		
Proposal origin: <i>BCC Staff</i>			
Decision maker: Cabinet Member Decision forum: <i>Cabinet</i>			
Timescales: G&R EDM 10 th April; Cabinet member briefing w/c 15 th April; Cabinet 18 th June 2019			
Purpose of Report: To authorise the procurement of a new tree management and maintenance contract for all trees on council land, and to further develop and consult on a new tree strategy for Bristol.			
Evidence Base: General Trees play an important role in the Bristol urban landscape. As well as visually improving neighbourhoods and the city centre and creating green corridors connecting spaces, they reduce air pollution, reduce flood risk and ameliorate the urban effects from climate change and act as carbon storage. The One City Plan demonstrates Bristol’s commitment to increase the tree canopy in the city and significantly enhance these benefits. However, trees are expensive so we need an innovative, collaborative plan to achieve the aspirations for Bristol and deliver their benefits. This report sets out what is needed for the council in the short term to manage council owned trees, and also highlights the need for an updated tree strategy and the council’s role in developing this strategy.			
1. Tree maintenance contract:			
<ul style="list-style-type: none"> • The Council’s tree maintenance contract with Gristwood and Toms expires in March 2020. We require approval now to procure a new contract in order that the Council can continue to meet its legal obligations to maintain trees on its land and on the adopted highway; avoiding any increased health and safety risk. • The Council currently has four officers who directly inspect trees on the adopted highway, in parks and green spaces and on land managed by Housing to determine whether there is any risk of harm to life and property and to determine the health of the tree. The tree officers commission any resulting tree maintenance works (pruning, felling) as necessary from the contractor. The Council is not able to carry out its own works beyond small-scale incidental works in parks. The contractor will also plant new trees as instructed. • Not all trees in Council ownership are routinely inspected. <i>This has been highlighted as an increased risk to the council on its Corporate Risk Register.</i> Unmanaged trees are estimated to be located in an area of approximately 605 hectares of Council land. To lower the potential significant risks to the council, residents and visitors it is proposed to inspect all council-owned trees and to expand the scope of the new contract accordingly. It is estimated through modelling that this will uplift annual spend by up to £300k from £500K to £800K – a more accurate calculation will be made once the inspections are complete which is likely to be by the end of 2020/21 financial year. The contract will have a minimum spend value and will allow for flexibility to increase tree maintenance as a result of the inspections of the additional trees. Funding for the additional tree works and 			

inspections would need to be identified within relevant landowning department's *current* asset management budgets.

2. Tree Strategy

- The Council has been engaging with Forest of Avon, Woodland Trust and the Bristol Tree Forum with regard to a new tree strategy that will set out a proposed way forward with regard to tree planting in the city and how this may be funded and delivered. The One City Plan's aspirations include very high numbers of new trees to be planted each year and this can only be achieved with a clear and logical approach to identifying suitable sites and identifying species, generating commitments from landowners, having sufficient capital funds to procure trees and a suitable vehicle / resource to engage the public and communities and carry out tree planting.
- The Strategy will also set out the Council's approach to managing its tree stock appropriately – meetings its obligations with regard to heritage and important landscapes, maintaining a diverse age structure in its parks and in streets, acting when trees destroy and disturb important infrastructure or prevent public access and when they impact on public safety or the commercial potential of parks and green spaces. It is important that we give a clear message as to why we sometimes need to remove trees and offer reassurance to residents and communities that we do this in a sensible, logical way and that we advise of our approach to compensatory planting.
- Initially the strategy will focus on council trees. It is hoped that as the One City approach is developed the strategy can be expanded and incorporated into the city approach for delivering the tree canopy aspirations through the One City Plan Environment Board. We are keen to take a key role in the development of this plan.
- The tree strategy will be subject to a full public consultation.

3. One Tree Per Child

- Bristol City Council has been running a very successful One Tree Per Child project for the past four years. The project has one year remaining. It has successfully planted 57,000 trees working with all Bristol's primary schools. It is our proposal that the Council continues this project, and expands it as one of the key delivery mechanisms for the tree strategy as it is a key contributor to increasing the tree canopy in Bristol. We are working on the financial model for continuing this as the funding ceases in 2020. The cost is c£45k a year.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Delegate authority to the Executive Director for Growth and Regeneration to procure and enter into a contract for maintenance of trees owned and managed by Bristol City Council from the 1 April 2020 for 5 years with option to extend for another 5 years.
2. Note that a new Tree Strategy report will be submitted to Cabinet following public consultation
3. Approve the continuation and funding of the One Tree Per Child project for two years (total £90K) as a suitable vehicle to deliver an expanded tree planting programme and to seek funding and planting partners.

Corporate Strategy alignment:

The recommendations will support Key Principles:

- Maximise opportunities to work with partners and other stakeholders locally, nationally and globally.
- Build city resilience, improving our ability to cope with environmental, economic or social 'shocks and stresses'.

The recommendations help deliver our Key Commitments:

- Improving our environment to ensure people enjoy cleaner air, cleaner streets and access to parks and green spaces.

City Benefits:

1. The proposal maintains and enhances the Council's approach to the responsible management of its trees and in so doing helps to significantly reduce the potential for harm to residents, visitors and property as a result of tree failures.
2. The proposal helps deliver an approach to increasing the city's tree canopy and in so doing delivering the

known benefits of trees in the urban environment – improving green infrastructure, making neighbourhoods greener, ameliorating the effects of climate change, improving air quality and enhancing wellbeing.

3. The proposal seeks to continue the council’s ambition to engage citizens in tree planting, encouraging greater pride in the city and bringing communities together.

Consultation Details:

1. The Council has begun engaging in with key stakeholders with regard to an approach to a Tree Strategy including the Forest of Avon, the Woodland Trust and the Tree Forum.
2. A draft of the Tree Strategy will be subject to public consultation.

Background Documents:

Corporate Risk Register - <https://democracy.bristol.gov.uk/documents/s31921/Corporate%20Risk%20Register.pdf>

Revenue Cost	Tree maintenance contract: £4m over 5 years (with potential for further £4m over a further 5 years) Additional tree inspection resource: c£84K over 2 years. One Tree Per Child extension: £90K over 2 years.	Source of Revenue Funding	Tree management CC11051. Current departmental budgets where unmanaged trees are located – Parks, Transport, Housing, Parking Services, Property Services. Current departmental budgets where unmanaged trees are located – Parks, Transport, Housing, Parking Services, Property Services. Current ‘One Tree Per Child’ budget.
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: This report requests approval to procure a new tree management and tree maintenance contract to be effective from 1/4/2020 for a duration 5 years with the option to extend for a further 5 years. The current contract doesn’t cover all trees within the Council’s estate. It is estimated that to incorporate those trees which are currently unmanaged would cost an incremental £0.3m p.a. over the current contract’s budgeted £0.5m p.a. The revised cost would therefore total £0.8m p.a. (£4m per 5 years). No source has been specifically identified within the MTFP for this £0.3m p.a. increment which would be required for 20/21 onwards.

It is estimated that tree inspection, to guide the management and maintenance of those additional trees, would cost £0.047m per annum which would be incremental to relevant services’ existing budgets. Again capacity for this additional cost is not specifically identified within the current MTFP.

The report also request that the service consults on tree strategy.

One aspect of this could include the option to extend the One Tree Per Child initiative at an estimated cost of £0.045m per annum for 20/21 onwards.

I confirm that the Parks Reserve (BX136) holds £90k uncommitted funding to cover a 2 year extension to the OTPC initiative.

Finance Business Partner: Jemma Prince. 30th April 2019

2. Legal Advice

Procurement

Unless an exemption is available, the tree management services contract must be procured via one of the procedures specified in the Public Contracts Regulations 2015 (the value of the contract is considerably over the threshold at which the regulations apply, £181k). The contract must include the relevant health and safety provisions.

Consultation

The consultation responses must be conscientiously taken into account in finalising the decision. The leading cases on consultation provide that

- Consultation should occur when proposals are at a formative stage;
- Consultations should give sufficient reasons for any proposal to permit intelligent consideration;
- Consultations should allow adequate time for consideration and response;

There must be clear evidence that the decision maker has considered the consultation responses, or a summary of them, before taking its decision.

- The degree of specificity regarding the consultation should be influenced by those who are being consulted;
- The demands of fairness are likely to be higher when the consultation relates to a decision which is likely to deprive someone of an existing benefit.

Equalities

The Public Sector Equality duty requires the decision maker to consider the need to promote equality for persons with “protected characteristics” and to have due regard to the need to i) eliminate discrimination, harassment, and victimisation; ii) advance equality of opportunity; and iii) foster good relations between persons who share a relevant protected characteristic and those who do not share it.

The Equalities Impact Check/Assessment is designed to assess whether there are any barriers in place that may prevent people with a protected characteristic using a service or benefiting from a policy. The decision maker must take into consideration the information in the check/assessment before taking the decision.

A decision can be made where there is a negative impact if it is clear that it is necessary, it is not possible to reduce or remove the negative impact by looking at alternatives and the means by which the aim of the decision is being implemented is both necessary and appropriate.

Legal Team Leader: Husinara Jones, Commercial and Governance Team, 29th May 2019

3. Implications on IT:

No ICT dependency for this project therefore our commentary is not required.

IT Team Leader:

Tracy Dodds, Insight and Design Manager, Digital Transformation, 3rd June 2019

4. HR Advice:

TUPE will apply if the contractor appointed is different from the existing contractor because it’s a service provision change. That will be a matter between the contractors, though the Council will wish to maintain oversight.

HR Partner: James Brereton (People & Culture Manager), 30th May 2019

EDM Sign-off	Colin Molton, Executive Director, Growth and Regeneration	10 th April 2019
Cabinet Member sign-off	Councillor Asher Craig, Deputy Mayor with responsibility for Communities	18 th April 2019
For Key Decisions - Mayor’s Office sign-off	Mayor’s Office	3 May 2019

Appendix A – Further essential background / detail on the proposal <i>Doc 1 – One Tree Per Child background and future proposal</i> <i>Doc 2 – Bristol Tree canopy and planting benefits</i>	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 – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

One Tree Per Child, Bristol. Background, project successes and proposal for 2020 onwards.

Author: Richard Ennion, Parks Development Manager

1. Summary

Since 2015, One Tree Per Child (OTPC) has planted 57,000 trees and engaged all Bristol's primary schools in education about the benefit of trees.

In 2016, Bristol City Council agreed to fund OTPC until 2020.

OTPC has strong volunteer contribution, valued at £26,551 in 2017-18 (see detail below). £6,972 cash donations and in-kind contributions in 2017-18 have covered the cost to purchase trees and provide sundries.

Plans are being developed to continue OTPC beyond 2020, retaining the commitment to plant one tree per child (6,000 trees/year), but extending the programme to secondary schools; a need and feasibility assessment is underway with further testing during 2019-20.

The cost to continue OTPC beyond 2020 is around £45k/year, assuming a similar sized project team. Planting 6,000 trees per year will contribute 28% of the annual increase required in tree canopy to meet the One City Plan aspiration to 'increase tree canopy by 25% based on 2019 levels, by 2036'.

2. One Tree Per Child Bristol - background

One Tree Per Child was launched in 2015 as a key Bristol City Council led environmental and educational initiative under Bristol's 2015 European Green Capital programme. The dual target to plant 36,000 trees (one tree each for every primary school aged child) and give every child the opportunity to plant a tree and see it grow, were exceeded by 2016 when 39,500 trees were planted, and all Bristol's 122 primary school were engaged in the project (private, state and independent schools).

3. OTPC current programme 2016-2020

In 2016, Bristol City Council agreed to continue One Tree Per Child until 2020, recognising the significant environmental and educational benefits from the project. The target is to plant 6,000 trees per year (the number of children starting primary school per year) and involve all Reception and Year 5 children in education about the benefits of trees and giving the opportunity for as many children as possible to plant a tree.

The project is now at the end of its third year and remains on target.

The project has attracted significant sponsorship, donations and volunteer support.

3.1 Outputs (2016-2019):

- 18,000 trees planted since 2016 (57,000 since 2015)
- All Bristol's primary school's engaged and offered educational assemblies (academic and practical) and workshops;
- Over 300 community, student and corporate volunteers engaged each year;
- The cost of the trees and planting sundries met through third party sponsorship / donations including from Trees for Cities, Bristol Energy, Woodland Trust, Bristol Water and Eunomia
- Delivery of education packages with partner agencies including the Woodland Trust and Forest of Avon Trust.

3.2 Resources

The OTPC core team is 1.5 fte, BG 10, employed by Bristol City Council, of which c. 0.3 FTE is dedicated to TreeBristol (planting private tree sponsorship, s.106/ Cil/ project funded tree planting), which brings in c. £15,000 income / year from s. 106 (£76 for every tree planted using s.106 funds).

Annual staff cost is c. £41k [1.5 fte @ £56,744 (inc. 23% on-costs) - £15,000 cost recovery]. Plus c. £3,000 / year transport. Total c. **£45k / year**.

The cost of trees and planting sundries has been met by third parties.

4. One Tree Per Child after 2020

4.1 Policy context

Bristol's One City Plan (January 2019) target is to increase Bristol's tree canopy by 25% by 2036 from 2018 levels. By 2046 the target is to double tree canopy. The current tree canopy is around 12% (based on 2018 i-Tree assessment).

Bristol land area: 11,000 hectares

Tree cover at 12%: 1,320 ha

Tree cover at 15% (25% increase 2019 level): 1,650 ha

Required increase in tree cover to achieve 25% increase in Bristol tree: 330 ha

Require increase in tree cover to double canopy by 2046: 1,320 ha

Annual increase required to meet target by 2036: **19.4 ha / year**

Assuming 6,000 trees planted per year, if all these trees were planted to form woodland (at 1,100 trees per hectare), this is equivalent to 5.5 ha of woodland per year, equivalent to 28% of the required increase in area of trees (tree canopy) per year to achieve a 25% increase in Bristol's tree canopy by 2036 (planted area = 19 ha, cf. required area = 77 ha).

4.2 From 2020 OTPC will:

- Plant 6,000 trees per year (one tree for every child starting school per year)
- Expand to include secondary schools
- Focus on schools in more deprived communities

OTPC will visit all of Bristol's secondary settings, offering assembly and workshop packages around the benefits of trees, doing planting on sites and then develop a 'bank' of students with particular interests in science and environmental issues, (particularly schools' eco-clubs or green clubs), and develop as ambassadors to visit primary schools with and without the One Tree Per Child team to deliver peer-to-peer learning in primary school settings. These secondary school projects and ambassadors will operate under the name: 'Carbon Catchers'.

The project is anticipated to run for four years, subject to review.

Anticipated positive outcomes in schools:

- Firstly, the educational package around the benefits of trees will enhance learning across the curriculum;
- Secondly, the project will provide an 'extra-curricular offer' to students and we will focus this in more deprived areas where parents' and carers' may not afford this extra-curricular provision, and

Appendix A1 to 'Tree management contract and strategy'

- Thirdly, the project will promote equalities bringing in local communities to schools forging important links between different and disparate groups within the local area thus promoting our role within Bristol City Council's commitment to the third element of the Public Sector Equality Duty: 'foster good relations between different people when carrying out their activities'.

As with our primary programme this scheme will be promoted to schools highlighting the benefits of it in developing learning within the National Curriculum. Although the programme will, obviously, lend itself to the schemes of work in science, we will also be promoting the very effective, ways in which tree education and practical work around planting and maintenance can be used in learning around literacy, maths, art and history too.

OTPC will protect Bristol's natural heritage with a specific focus on the city's veteran trees. Educational packages with primary and secondary schools will include visits to areas with several veteran trees such as Ashton Court and Blaise Estate and to those sites with specific veteran trees such as the Luccombe Oak in Stoke Lodge, the Pilgrims' London Plane Tree in Brislington Brook or the veteran Horse Chestnut at Stoke Park where students can complete tree ID trails, learn about the history of these older trees as well as helping with some of the more basic maintenance work such as 'halo' clearing and ivy cutting and doing monitoring work such as measuring.

Proposed Outputs:

- 2,000 trees planted with primary school children on school sites;
- 2,000 trees planted with local communities alongside primary and secondary school children in green spaces in Bristol;
- 2,000 trees planted with secondary school children on school sites;
- Develop and increase lead and general volunteers to the project: 24 lead volunteers by March 2021 (10 current), and 200 general volunteers by March 2021 (35 current);
- 12 'Carbon Capture' Ambassadors from each secondary school (fewer in smaller specialist settings);
- Links and statistics from joint outcomes with other programmes such as Duke of Edinburgh award and Prince's Trust;
- All primary school year 5 students to receive tree education package;
- Improved GCSE results within Carbon Capture Ambassador cohort;
- Measurable contribution to BCC Doubling Canopy by 2050 target (see 4.1 above), and
- Measurable contribution to BCC Carbon Neutral by 2030.

4.3 Needs analysis

OTPC has engaged with the Secondary Schools' Science Heads' Network, with positive feedback and commitment to support the project from the beginning of 2019-20 planting season. Three 'trailblazer' secondary schools (10% - of 30 secondary schools in Bristol) have agreed to test the OTPC 2020+ programme, including:

- City Academy, Easton;
- Ashton Park School, Bedminster and
- Oasis Academy Brightstowe, Shirehampton)

During 2019-20 the OTPC team, subject to feedback, will develop the project across a further six schools (taking to 30% of all Bristol's secondary schools).

The project will be evaluated and rolled out across all 30 schools and academies between 2020-23 subject to agreement and funding (see 4.4 below)

4.4 Funding options

£90k required to extend the project for 2-years' from 2020, based on c. £45k annual costs.

Potential sources of funding that will be explored based on proposed OTPC 2020+ plan:

- National Lottery Heritage Fund (active conversation),
- City Fund (from April 2019),
- Bristol City Council (seeking contribution to core costs and used for match funding)
- Crowd funding (via the Bristol and Bath Parks Foundation)
- Small grant providers
- Landfill tax
- Corporate sponsorship
- Donations
- S.106 (via a city wide plan agreed by Area Committee's to assign dedicated s. 106 funds)
- One Tree Per Child - international
- Wessex Water – committed to plant ½ million trees in the region – exploring partnerships

5. **Partners and Supporters**

Woodland Trust – we work collaboratively with Woodland Trust in providing education and planting in schools through their commissioned education providers – **Forest of Avon Trust**. Both FoAT and Woodland trust are keen to continue this partnership post 2020

Trees for Cities – Trees for Cities have contributed almost £6000 this year to fund trees in schools and other large scale planting sites. Last season they funded several standard street trees. They are keen to continue sponsorship arrangements post 2020. They also brokered corporate volunteers from Price Waterhouse Cooper on a volunteering maintenance day at our large site in Seabank, Avonmouth where they contributed £500 for us to run this.

Eunomia – are an expanding Environmental Consultancy based in Bristol. They are primarily concerned with reducing carbon and advising companies how to do this. This year they sponsored over 1000 trees on a large planting site in Lawrence Weston and provided around 40 of their staff at volunteers to help with the scheme. They have already committed to sponsoring more planting schemes next year and providing further volunteers to help with this.

Bristol Water – OTPC worked with Bristol Water on a large scheme of mitigation planting around their contingency pipeline. They paid over £2,500 to provide support in transporting 12 schools from inner-city Bristol to the site to plant trees. All the trees on this scheme were funded by Trees for Cities.

University of Bristol and University of West of England – UB has sponsored over £20,000 worth of street trees last year and we hope to continue working arrangements around sponsoring OTPC. UWE provides student volunteers every year for two weeks in February called WOW weeks and this arrangement is set to continue.

RSPB – we have run joint sessions around ecology with RSPB in primary schools. This realises efficiencies in school visits and is something we're keen to continue with post 2020.

6. **Next step**

Appoint a fund raiser and develop a funding strategy for OTPC 2020+. The brief to include identification of key likely grant providers and following active dialogue and matching, plan to take applications forward.

Pursue Partners' contribution.

Liase with Bristol and Bath Parks Foundation to identify OTPC is a 'Partner Project' and target funding.

7. Statements of Support

Learning City - 'I can confirm that the Learning City Partnership is in support for the continuation of the Bristol One Tree Per Child programme. This valuable activity provides opportunities for children to engage in outdoor activities that not only benefit the children, but also improve air quality in local areas.

This programme helps children to learn about sustainability and provides some of our city centre children with the opportunity to learn about nature and take part in activities outside the classroom. This is a key aspect of the UNs Sustainable Development Goals, a set of goals Bristol is committed to delivering.

The programme also brings communities together around a school to take part in tree planting involving parents and community volunteers.

It is my hope to see this programme continue into the future'.

8. Volunteer contribution (public and corporate)

	2018-19		
	Number Volunteers	No. hrs @5 hrs / session)	Value @£14.43 per hour
General volunteers	243	1215	£17,532
Corporate volunteers	125	625	£9,018
Total			£26,551

Detailed summary

Date	General Volunteers	Corporate Volunteers	Teachers	Children
Apr-18	12	4	0	0
May-18	14	0	0	0
Jun-18	12	50	0	0
Jul-18	18	0	0	0
Aug-18	15	0	0	0
Sep-18	11	7	0	0
Oct-18	18	3	0	0
Nov-18	18	18	5	38
Dec-18	14	8	20	267
Jan-19	21	3	18	117
Feb-19	72	27	2	34
Mar-19	18	5	12	126
TOTAL	243	125	57	582

The Benefits of Trees in Bristol

Urban trees work hard for us. They are the green lungs of our city: bringing life, colour and beauty to our neighbourhoods; providing food and sanctuary for wildlife; and enhancing our health and wellbeing by keeping us cool, cleaning the air and connecting us to nature.

Following a citywide survey, we now know a lot more about Bristol's trees.



600,000 

If all trees laid end to end they would stretch **3,800 miles**



£2.7million

Total annual benefit from Bristol's trees



Total net value of all Bristol's trees:
£279million



Enhance our health and wellbeing, reducing stress, and boosting our mental health



1,300 hectares of Bristol are covered in trees, but **9,700 hectares** have no trees at all



Remove **100 tonnes** of air pollution: value **£1.6 million/year**



360,000 tonnes carbon dioxide value **£23 million**

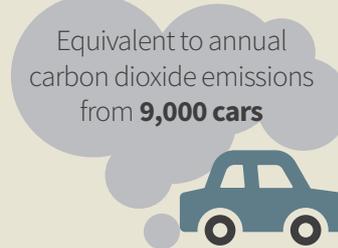
Equivalent to annual carbon dioxide emissions from **9,000 cars**



Help teach our children about the environment. Planting and caring for urban trees connects us with nature



Remove **14,000 tonnes** of carbon dioxide per year: value **£920,000/year**



Provide a **network of food** and protection relied upon by insects, birds and mammals



600,000 total number of trees, **100,000** are Ash



Reduce **flood risk** by removing **90,000m³** of **water** running into the drains per year: value **£140,000/year**



£260 million **Structural value** (replacement cost)



Bring life, colour and character to the city, reducing noise and offering shade and shelter

Figures based on 2018 i-Tree Eco sample assessment. See 'Key Findings' sheet for standard error calculations.

Appendix D - Risk Assessment. Tree management contract and strategy

Negative Risks that offer a threat to Tree Procurement/Tree Strategy/One Tree Per Child continuing 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
Tree management procurement	Cost of tree maintenance contract higher than anticipated	General market uplift in rates and tender bids higher than anticipated. Market responds to Bristol 2017/18 budget reduction for tree management (reinstated 18/19).	Further approvals required. Uplift in tree management budget required across relevant departments.	Open		Economic / Financial	Management of Place	Competitive procurement process / widespread promotion of opportunity. Proposed contract spec will include flexibility for expansion so initial appointment could be made so immediate or H&S works can continue.	Stable	3	2	6	Only able to be confirmed as a result of procurement process			0	
Tree Strategy	Objections to draft proposals through consultation	Example: public or stakeholders not understanding, or agreeing with, the scope of tree management policies; tree planting proposals nor prescriptive enough	Lack of support for Strategy. Additional communications and engagement required. Re-drafting required	Open		Organisational / management	Management of Place	Engagement with key stakeholders already taking place and will be carried forward.	Stable	4	1	4				0	
One Tree Per Child	External funding not achieved	Potential partners unable to commit funding. Grant funding applications or sponsorship efforts not successful.	One Tree Per Child decommissioned at end of current funding period. One City Plan tree planting target compromised.	Open		Economic / Financial	Management of Place	Parks Development Team already working with key stakeholders to identify funding and opportunities for partnership working.	Stable	3	2	6	No income generated			0	

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	Tree management contract and strategy
Please outline the proposal.	Procurement of a tree maintenance contract and adoption of Tree Strategy that sets out a tree planting plan and tree management policies
What savings will this proposal achieve?	None
Name of Lead Officer	Richard Fletcher

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>The tree maintenance contract will continue the Council's process of tree works that respond to issues of health and safety, nuisance from trees and maintaining tree health and longevity. In so doing the contract will help keep footpaths clear of tree-related obstacles including epicormics growth, supporting access for older people and disabled people.</p> <p>It is planned that this work will expand to all Council-owned property but this needs to be audited to fully understand potential for positive impacts.</p> <p>The tree strategy will set out the Council's approach to tree management, including acting when trees destroy and disturb important infrastructure or prevent public access. This can also support footpath access particularly for older people and disabled people.</p> <p>The tree strategy will include a tree planting programme where the Council will seek to work with volunteers and schoolchildren, continuing the One Tree Per Child approach, across the city.</p>
Please outline where there may be significant negative impacts, and for whom.
There are no negative impacts identified.

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.

It is not anticipated that there would necessarily be positive impacts. The number of contracted or in-house employed staff is relatively small – both in terms of tree management and tree planting. Potentially only one new post would be generated but this is not confirmed.

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

There are no negative impacts identified.

Is a full Equality Impact Assessment required?

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

- access to or participation in a service,
- levels of representation in our workforce, 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.

There are no negative impacts identified. There is potential for some positive impact from the expansion of the tree management service to all Council land and the longer-term continuation of a tree planting plan working with volunteers. Largely however the proposal seeks to continue existing services.

Service Director sign-off and date:



Patsy Mellor 09/4/2019

Equalities Officer sign-off and date:



Duncan Fleming 9/4/2019

Eco Impact Checklist

Title of report: Tree contract and strategy				
Report author: Richard Fletcher				
Anticipated date of key decision 4 th June 2019				
Summary of proposals: Procurement of a tree maintenance contract and adoption of Tree Strategy that sets out a tree planting plan and tree management policies				
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	The Tree Strategy will set the Council's intended contribution to the One City Plan objectives for increasing Bristol's tree canopy cover and tree planting. Bristol's <i>existing</i> tree canopy cover is estimated to remove 14,000 tonnes of carbon per year.	N/A
Bristol's resilience to the effects of climate change?	Yes	+ive	The strategy for tree planting would increase the tree canopy and would be expected to result in a cooling of the urban microclimate and help reduce surface water run-off.	N/A
Consumption of non-renewable resources?	Yes	-ive	Equipment use – Contractors will use equipment, may be powered by fuels (Diesel/ petrol)	Encourage contractors to prioritise fuel efficiency, look at alternative fuels/ electrical/ battery powered options.
Production, recycling or disposal of waste	Yes	+ive/-ive	Waste will be produced from tree maintenance	Ensure contractors following the waste hierarchy and waste legislation.
The appearance of the city?	Yes	+ive	The strategy for tree planting has the potential to create new areas of woodland, more street trees and create clear green links as part of a wider green infrastructure package.	N/A
Pollution to land, water, or air?	Yes	+ive	The strategy for tree planting would increase the tree canopy. Bristol's <i>existing</i> tree canopy cover is estimated to remove	

			100 tonnes of air pollutants every year (NO2, CO, SO2, O3, PM). Travel – Contractor will travel to maintain trees.	When procuring ask about contractor fleet, ideally looking for more modern, efficient and well maintained fleet to reduce air quality impact.
Wildlife and habitats?	Yes	+ive	Strategy for tree planting will improve biodiversity and habitat in the city.	
Consulted with:				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
The significant impacts of this proposal are increased tree coverage through tree planting strategy.				
The net effects of the proposals are positive.				
Checklist completed by:				
Name:			Richard Fletcher	
Dept.:				
Extension:				
Date:			30/04/2019	
Verified by Environmental Performance Team			Nicola Hares	

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 4th June '19

TITLE	Keeping Bristol Safe Partnership Proposal		
Ward(s)	All		
Author:	Jacqui Jensen	Job title:	Executive Director Adults Children Education and Public Health
Cabinet leads:	Cllr Godwin; Cllr Holland; Cllr Craig;	Executive Director lead:	Jacqui Jensen
Proposal origin:	<i>BCC Staff</i>		
Decision maker:	Cabinet Member		
Decision forum:	Cabinet		
Timescales:	ACE ELT 28 th November, Cabinet Member Briefing 3 rd December, CLB 18 th December, SPB 14th March '19, Cabinet 4 th June 2019		
Purpose of Report:	<ol style="list-style-type: none"> 1. To seek approval to constitute a combined Executive Safeguarding and Community Safety Board consolidating the statutory functions of four existing boards: Safer Bristol Board, Bristol Safeguarding Adults Board (BSAB), Bristol Safeguarding Children Board (BSCB) and the Children and Families Partnership Board (CFPB), to be known as the Keeping Bristol Safe Partnership 2. To meet the statutory requirements of Working Together 2018 in transition from LSCB arrangements to multi-agency safeguarding arrangements through these new arrangements 3. Statutory guidance sets out that the lead representative for the Local Authority safeguarding partner is the chief executive. In the absence of that role in this Authority, Cabinet is asked to designate the Executive Director, People as the lead representative. 		
Evidence Base:	<ol style="list-style-type: none"> 1. The publication of Children and Social Work Act 2017 and Working Together 2018 brought in required changes to the Local Safeguarding Children Board. This legislation ends the local authority's duty to have a LSCB and requires three statutory partners (Local Authority, Police Constabulary and Bristol Clinical Commissioning Group) to ensure effective multi-agency safeguarding arrangements which enable effective partnership working and assurance of the effectiveness of the safeguarding system. There are limited requirements in how these arrangements should be established. 2. The landscape of Safeguarding is changing; the focus is moving from interfamilial abuse for children and adults at risk to include very complex contextual safeguarding concerns which present high risk. The traditional board models do not facilitate innovative solutions to high risk complex situations. There is increasing overlap between the Boards and the current approach to safeguarding, community safety and early health and prevention does not enable whole-system approaches and thinking. 3. Transitional safeguarding is a priority for Bristol. As our children become young adults we rarely find ways of developing a more seem-less service which better meets the needs of vulnerable young adults including those who do not meet the Care Act 2014 criteria but remain at significant risk in our community. 4. There are considerable and growing overlaps in the issues of concern to the respective groups, additionally 		

there are gaps and shortfalls as a result of the silos that the groups inadvertently create.

- There is an increasing growth in connectivity between the boards e.g sexual exploitation, hate crime, modern slavery, serious violence and gang crime, criminal exploitation and mate crime which affect children, adults, families and communities. These issues make the differential agendas for the existing board structure less relevant with issues or concerns falling between the various remits these include:
- Youth offending team funding / PCSO funding and Safer Bristol
- Impact of Domestic abuse on children, adults and adults at risk / Safer Bristol, LSAB and LSCB
- Strategic commissioning / vision setting across all boards;
- Extra-familial and complex safeguarding (the risk in the environment rather than the traditional risk in the home) is testing all service areas and consequently all boards / groups and requires a collective, coordinated focus.
- Increasing pattern of co-commissioned statutory views i.e. joint Safeguarding Adults and Domestic Homicide Review

5. The other safeguarding partners proposed regional safeguarding arrangements. This was examined considered carefully but ultimately rejected. Bristol's Elected Members May 2018 have concerns that a regional shared arrangement will not best support vulnerable children given Bristol's specific characteristics. This arrangement would also require Bristol City Council to delegate their decision-making on these fundamental City issues to a regional executive
6. The Bristol proposal is instead for a local 'place' based option complemented by regional project-work offers a solution which facilitates cross working based on local risks and fits well with the One City approach typified by the One City Plan.
7. Bristol City Council have engaged with partners through the regional Consortium Working Group to try to resolve the cultural challenges of the current arrangements and address concerns about regional duplication:
 - The lack of executive engagement and attendance on statutory boards.
 - The lack of capacity for officers in all partner agencies to sit on the myriad of statutory and partnership boards and groups due solely to the numbers of groups and capacity.
 - Ensure that the safeguarding function with respect to children is explicitly a shared accountability across Health, Police and Local Authority partners.
 - Shortfall and gaps between the remits of the current boards
8. The proposed model of a Single Executive Board has the potential to effectively and efficiently resolve the issues outlined whilst maintaining a Bristol 'place' focus. Through this work the consortium have come to agree with Bristol City Council's analysis and proposal for place-based local governance arrangements which enable integration of adult, children and community safety approaches. We therefore present this proposal with cross-partnership sign up and support.
9. Finances and the cost of the Business Unit
 - Currently the Business Unit supports two boards and manages the activity related to the statutory functions of the boards. There is no support for the CFPB or the Safer Bristol Board. The lack of support for the Safer Bristol Board is most evident when we consider the impact, financial and otherwise of DHRs.
 - The threshold decision making regarding adult and children's serious case reviews have proved to be effective with the introduction of the joint business unit supporting robust and defensible decision-making which has improved timeliness and reduced drift. However this is not the case in relation to Domestic Homicide Reviews (DHRs) which are not support through the Business Unit. At the start of 2019 there were 13 DHRs being commissioned or undertaken. This is a substantial cost to the Office of the Police and Crime Commissioner and the department and has limited evidence of systems change and impact without the resource to support effective implementation and change.
 - Partners funding for the Business Unit may reduce and we will shrink the board staffing accordingly, however it is anticipated there will be no savings to be gained under the new model, instead the team's remit with provide wider reach and impact across the system using the resources already in place.

- The current model relies on two funded Independent Chairs. In the new model there will be a reduction in cost of one Independent chair which will mitigate any reduction in partner funds.
- There will be increased efficiency and quality as the Executive Board gears up to support the statutory functions related to all four boards and the partnership work of the CFPB.
- The transformation project has been supported through funding a project consultant from the LSCB funding envelope in order to ensure that we meet the statutory requirements of Working Together 18 through the implementation of the new board arrangements

Risks

- The new model must ensure it supports scrutiny of provision and service delivery across all four statutory functions. This includes the need to maintain oversight of safeguarding and safety issues impacting minority groups and issues which do not cross the four functions such as the care and support needs of older adults - An Independent Chair has been recruited to support the Executive Board and provide robust oversight that all functions are being discharged
- Reduction in funding by other statutory partners – The new equitable arrangement expectation of the Children’s arrangements increases the expectation on contributions by the constabulary and Clinical commissioning group
- Disengagement of smaller community groups – Sector engagement events have developed clear lines of representation and engagement with the new approach. An annual consultation event will be held open to all partners across the city. The new Task and Finish model will enable wider engagement with opportunities with less of a resource burden.

Next Steps

- Public consultation online survey and drop-in event running throughout May 2019 to inform the sub structure and strategic priorities of the Board
- Cabinet approval 4th June 2019
- New arrangements to be published by the 29th June 2019 (statutory timescale)
- Learning from Shadow arrangements to inform full implementation July 2019
- A regional advisory group to be established to develop regional children safeguarding efficiencies – this will report to the local area Executive Boards
- Policy framework and linked policies within the Council will require refresh by 29th September 2019

Cabinet Member / Officer Recommendations: That Cabinet

1. Agree to constitute an Executive Safeguarding Board, namely, *Keeping Bristol Safe Partnership* consolidating the statutory functions of the four existing boards Safer Bristol Board (CSP), Bristol Safeguarding Adults Board (BSAB), Bristol Safeguarding Children’s Board (BSCB) and the Children and Families Partnership Board (CFPB).
2. Designate the role of Executive Director, People as the lead representative for the Local Authority for the purposes of the new local safeguarding partner arrangements.
3. Note that a further report will be brought through the decision pathway to agree the final constitution and governance arrangements for the new Board.

Corporate Strategy alignment:

The proposal fits with Theme 1 of the Corporate Strategy Empowering and Caring in terms of our goal to work with partners and give children the best start in life.

City Benefits: Consolidates the safeguarding imperatives and removes shortfalls created by the various existing silo

arrangements and provides structured support to the crime and disorder functions.

Consultation Details: Wide consultation has taken place since 2017 with:

- The previous Independent safeguarding board chairs
- At the existing statutory Boards
- With the relevant Cabinet Members
- With the Safeguarding Youth Shadow Board
- Through the regional consortium partnership working group including
- An engagement session with Board members from all of the relevant boards was held in February 19
- 6 week online public consultation
- 3 public consultation drop-in events across the city
- With representatives of the young people participation groups
- 4 sector events for Voluntary Sector organisations; Education; Health and Independent Care Providers

This consultation has covered three main areas:

1. The new strategic arrangements
2. Structures for public and organisational engagement with the arrangements
3. The strategic priorities for the new arrangements from September 2019.

The consultation has informed the EQIA and will inform the final business plan.

Revenue Cost	£14,500 for Project Consultant	Source of Revenue Funding	Bristol Safeguarding Boards Pooled Budget
Capital Cost	n/a	Source of Capital Funding	
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 2019/20 detailed budget in the four cost-centres associated with Safeguarding in Adults and Children has funding of £0.336m, through a combination of base budget and contributions from partners. The Joint Business Unit accounts for £0.208m of that total. If partner contributions reduce, the activity supported will reduce accordingly. For instance, the proposal to reduce the number of independent chairs by one could save between £10k-£15k, but this would assist in ensuring that safeguarding responsibilities were otherwise delivered.

Finance Business Partner: David Tully, 8th March 2019

2. Legal Advice:

1. Multi-Agency safeguarding arrangements for Children

The Children and Social Work Act 2017 creates a new shared and equal duty for the Council, Police and CCG ("safeguarding partners") to make arrangements to work together to identify and respond to the needs of children in their area (Multi Agency Safeguarding arrangements).This replaces the requirement for the Council to establish a Local Children’s Safeguarding Board. The transition from Local Safeguarding Boards to Safeguarding partner arrangements must be complete by 29th September 2019 by which time the new arrangements must be published.

The safeguarding partners should agree on ways to coordinate their safeguarding services, act as a strategic leadership group and implement local and national learning. Serious case reviews have been replaced by Child Safeguarding practice reviews for which the Safeguarding partners are responsible jointly with the national panel. The Partners must set out how they will work together and with any relevant agencies. Arrangements are not prescribed and are to be agreed locally.

The geographical footprint for the new arrangements is the Local Authority area, and there can only be one partnership in each area. The Safeguarding partners should agree the level of funding from each partner on a "fair and equitable" basis.

There must be arrangements for independent scrutiny of arrangements and an annual report must be published by the partners.

2. Combining arrangements with other Boards/partnerships

There is no legal reason why the Boards/Partnerships set out in the report should not be combined in to one executive safeguarding Board, but only on the basis that the Local Authority – and other Statutory agencies - are satisfied through a robust assurance process that the statutory duties, aims and plans for the respective Children’s, Adults and Crime reduction functions would be promoted and properly discharged.

Care Act Statutory guidance enables a Safeguarding Adults Board (SAB) to be set up as a joint Board that covers children’s safeguarding. Local SABs decide how they operate but they must ensure that their arrangements will be able to deliver the duties and functions under Schedule 2 of the Care Act.

Community Safety Partnerships set up by the Crime and Disorder Act 1998 must exercise their functions having regard to the police and crime objectives set out in the police and crime plan for the local police area. Legislation and guidance does not prohibit combination with other boards within a geographic area. Combination of authorities across more than one geographic area is permissible if it is in the interests of: reducing crime and disorder; reducing re-offending or combating the misuse of drugs, alcohol and other substances. It is advised that the same criteria are applied to this proposal.

Legal services are involved in advising on the development of new governance arrangements.

Legal Team Leader: Nancy Rollason Head of Legal Service, 01/05/19

3. Implications on IT: There are no immediately identifiable IT implications in this report. However, joint working often brings IT implications in terms of compatibility, integrations and data sharing arrangements. Shared data will almost certainly provide better outcomes, but some analysis may be required to determine the appropriate support measures or solutions.

IT Team Leader: Ian Gale 5/3/19

4. HR Advice: As the report currently states there may be a reduction in staffing of the Business Support Units, as well as the reduction of an Independent Chair – this will have HR implications for the individuals concerned. As a result I would expect a full Management of Change process to take place as appropriate once the decision has been agreed upon and we know for definite what the structure will look like and what impact it may have. All Bristol City Councils relevant policies and procedures will be followed and should anyone be displaced we would seek to redeploy them to retain the skills and experience within the organisation

HR Partner: Lorna Laing 12/3/19

5. Reputational narrative: Whilst this proposed merger will unlikely attract much public attention it does have the potential to impact on the work of professionals and those accessing agency delivered services. Early work is underway to bring together the communications leads of the key agencies to plan out an approach to communicating the merger in the first instance and agree future communications arrangements. It’s recommended that a detailed communications plan is drafted in collaboration with agency partners to ensure that all relevant groups are communicated with and that one single agreed narrative is in place for all partners to use when addressing agency specific audiences.

PR officer: John Smith, Senior Public Relations Officer 12th March 2019

EDM Sign-off	ACE EDM	01/05/19
Cabinet Member sign-off	Helen Godwin; Helen Holland;	01/05/19
CLB Sign-off		[date]
For Key Decisions - Mayor’s Office sign-off	Mayors Office	10/5/19

Appendix A – Further essential background / detail on the proposal	YES
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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	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers	Please list each paper
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO



Proposal: Keeping Bristol Safe Partnership – Proposal

Background

Under a range of statutory legislation, Bristol City Council has responsible for both contributing to, and ensuring the effective partnership arrangements of agencies in the local authority area working together to safeguard children and adults at risk; reducing crime and disorder and protecting victims; and enabling prevention and early help resources. The key purpose and functions as outlined in the legislation and guidance are set out below. This highlights the areas of commonality where economies of scale could be brought through integration.

Legislation	Functions and Purpose	Bristol City Council's Duties in Addition to Core Statutory Partners
<p>Crime and Disorder</p> <p>Crime and Disorder Act (1998)</p> <p>Police and Justice Act (2006)</p> <p>Crime and Disorder Regulations (2011)</p> <p>Domestic Violence, Crime and Victims Act (2004)</p>	<ul style="list-style-type: none"> • Set up a strategic group to direct the work of the partnership • Regularly engage and consult with the community about their priorities and progress achieving them • Set up protocols and systems for sharing information • Analyse a wide range of data, including recorded crime levels and patterns, in order to identify priorities in an annual strategic assessment • Set out an annual partnership plan and monitor progress • Produce a strategy to reduce reoffending • Commission Domestic Homicide Reviews <p>In addition Section 17 of the Crime and Disorder Act 1998 dictates that the responsible authorities must consider the implication on crime and disorder of all of their day to day activities</p>	<p>Police and Justice Act 2006 extended the remit of local authorities to scrutinise through the local authority's relevant Scrutiny Committee</p>
<p>Safeguarding Adults</p>	<ul style="list-style-type: none"> • Establish a Safeguarding Adults Board 	<p>It is the local authorities responsibility to establish the</p>

<p>Care Act (2014)</p> <p>Care and Support Statutory Guidance (updated 2018)</p>	<p>(SAB) for its area</p> <ul style="list-style-type: none"> • The objective of an SAB is to work cooperatively to help and protect adults at risk in its area from abuse and neglect • Coordinate and ensuring the effectiveness of what each of its members does to prevent abuse and safeguard adults • Establish ways of analysing and interrogating data on safeguarding notifications • Produce a strategic plan and an annual report • Establish arrangements for Peer review and self-audit • Develop preventative strategy • Commission Safeguarding Adults Reviews • Making safeguarding personal -take a broad community approach to establishing safeguarding arrangements • Establish an environment where partners feel able to challenge each other • Maintain safeguarding policies and procedures including dispute resolution and escalation • Promote and monitor the impact of multi-agency training 	<p>arrangements for a SAB. The local authority 'must take the lead role in adult safeguarding, it may not delegate these statutory functions to another party'</p> <p>Local authority must produce information on how the SAB works.</p>
<p>Children and Families</p> <p>Children Act (2004)</p> <p>Children and Social Work Act (2017)</p>	<p>Agree with Police Constabulary and local Clinical Commissioning Group how to:</p> <ul style="list-style-type: none"> • Co-ordinate safeguarding services • Act as a strategic leadership group in supporting and engaging others 	<p>The local authority must promote cooperation between the authority, each of the authority's relevant partners</p> <p>The local authority can chose</p>

<p>Working Together to Safeguard Children (2018)</p>	<ul style="list-style-type: none"> • Implement local and national learning including from serious child safeguarding incidents • Commission Child Safeguarding Practice Reviews • Establish ways of analysing and interrogating data on safeguarding to identify trends early • Produce a 12-monthly report • Establish scrutiny arrangements for ensuring the effectiveness of partnership arrangements • Develop preventative strategy • Establish an environment where partners feel able to challenge each other • Engage with education providers • Maintain safeguarding policies and procedures including dispute resolution and escalation • Promote and monitor the impact of multi-agency training • Establish information sharing arrangements 	<p>whether or not to extend safeguarding arrangements beyond the local authority i.e. deliver the arrangements across multiple local authority areas</p>
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The Children and Social Work Act 2017 and Working Together 2018 set out the requirement for the safeguarding partners – Bristol City Council, Avon and Somerset Constabulary, BNSSG Clinical Commissioning Group – to publish their agreed arrangements by the 29th June 2019 and implement them by the 29th September 2019. This provides an opportunity for the strategic arrangements to be restructured to address the weakness of the existing model, reduce duplication, strengthen integrated place-based approaches to improve outcomes for the citizens of Bristol, and increase the impact and effectiveness of the arrangements. Core to this proposal is the recognition that individuals live in communities and families where the needs of adults, children, parents, victims of crime and offenders overlap and integrate. The proposed structure seeks to align with the strategic One City Plan in reducing Adverse Childhood Experiences and respond effectively to the impact of them in adulthood.

Proposed Structure



Proposed Structure Chart

- Delivery of all the above functions through a single integrated Executive Board with Chief Officers or delegated representatives from all named responsible agencies, VOSCUR Chief Executive representing VCSE perspective and a sector leader from Education enabling a responsive, high-support, high challenge environment for the city's leadership to set the strategic vision for safeguarding, community safety and early help commissioning, delivery and assurance. The Executive Board sets the expectations for the Business Delivery and Performance Groups and holds their chairs to account. The Executive Board agrees resourcing for safeguarding arrangements and holds local decision-making responsibilities. The Executive Board agrees what work to get involved in through the non-constitutional Regional Safeguarding Group where regional involvement will add value to Bristol's citizens.
- The Executive Board is responsible for making the final decision on whether to commission a statutory review. Shared responsibility across the named partners for decision-making.
- Scrutiny arrangements provided by the appointment of an Independent Facilitator/Chair of the Executive Board; regional peer-review and benchmarking; public consultation, participation and engagement groups and events; oversight by the Adults, Children and Education Scrutiny Commission and Communities Scrutiny Commission. Responsible Elected Members and partner agency Trustees will attend a three yearly Accountability Oversight Group with the Independent Chair and statutory officers.
- Business Delivery and Performance Groups chaired by Director or equivalent level representatives of the partnership will drive the delivery of the Executive Board's Strategic Plan. These groups will be shaped around the areas of Children, Adults and Crime and Disorder to ensure that each statutory

function has due focus and will be attended by Elected Members. They will be responsible for oversight of performance and quality of multi-agency working; developing new processes and approaches; implementing learning; commissioning of task and project groups to drive forward work across the city. Scheduled opportunities across the year for the Delivery and Performance Groups to come together to work on overlapping issues as identified in the strategic plan.

- Serious Case Review and Joint Safeguarding Adults and Domestic Homicide Reviews Commissioning Groups responsible for conducting rapid reviews of referrals and making recommendations to the Executive of whether the legal threshold is met. Responsible for commissioning and quality assuring statutory reviews and overseeing implementation of action plans.
- Task and Finish Project Groups are short-life groups set up to deliver a certain project or piece of work, for example undertake a multi-agency audit or commission a new training programme. The Business Unit will advertise these groups across the partnership to ensure wide engagement and opportunities for contributing.
- Strategic Planning and Consultation events (at least once a year) open to all partners and agencies across the city to hear what the Board has done, contribute to future work and hold the Board to account on delivering priorities.
- Sector-led groups will be held to support coordination of Health and Education sectors' engagement with the arrangement, to minimise duplication of resource but maximise the sectors' role in the arrangements. These will be coordinated by the BNSSG Clinical Commissioning Group and Bristol City Council respectively.

Business Support

The strategic arrangements will be support by a pooled budget from the core partners which will maintain the current funding of the partnership Business Unit and the multi-agency Safeguarding Learning and Development Team. Decisions on whether to increase or reduce funding to the Business Unit will be made by the Executive Board. This team and the Board's budget will continue to be hosted by Bristol City Council. Bristol City Council will act as data controllers for the partnership.

Relationship to other Partnership Boards

The integrated Safeguarding and Community Safety Board will work collaboratively with and require on occasions assurance from the following Boards and Bodies. However, it is independent of other Boards and partnership decision-making forums.

- Health and Wellbeing Board
- Sustainability and Transformation Partnership
- Locality Boards
- Learning City
- Healthwatch
- Youth Justice Partnership
- Family Justice Board
- SEND Partnership Board
- Excellence in Schools
- NHSE Quality Surveillance Group

Review

The arrangements will be independently scrutinised between July 2019 and September 2019. A review of the effectiveness of the arrangements will be undertaken after 12 months of delivery.

Becky Lewis**Acting BSCB and Quality Assurance Service Manager**

Bristol City Council Equality Impact Assessment Form

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



Name of proposal	Executive Safeguarding / Safety Board - working title ' Bristol Executive Board'
Directorate and Service Area	People – all Service Areas
Name of Lead Officer	Jacqui Jensen

Step 1: What is the proposal?

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

1.1 What is the proposal?

The creation of a new partnership Board consolidating the statutory functions of the four existing boards (Safer Bristol Board, Bristol Safeguarding Adults Board (BSAB), Bristol Safeguarding Children's Board (BSCB) and the Children and Families Partnership Board (CFPB)). This is to comply with new statutory provisions in relation to Children's Boards.

This model proposes to take a life-course, whole-system approach to safeguarding and safe communities by integrating the functions of the four Boards. This approach would bring together the whole system across universal, early intervention and prevention and child protection/adult safeguarding and combine oversight and assurance functions of the Safeguarding Boards with the commissioning functions of the Children and Families Partnership Board, and crime reduction strategy of Safer Bristol to facilitate and model a framework for creative partnership solutions.

The model is formulated on the hypothesis that Bristol's safeguarding arrangements could be improved for children, adults and families if the structural arrangements facilitated quicker, more effective opportunities for partnership leadership and shared decision-making by senior strategic leads across the partnership. Currently opportunities for coordinated partnership leadership are impacted by the high level of delegation at meetings, infrequent quarterly meeting structures held in silos across the system and a disparate strategic partnership structure. The model suggests that fewer meetings, with a greater focus on decision-making rather than information provision, attended by leaders in the city with the capacity to make robust change in safeguarding will promote impactful systemic change. This hypothesis is at the core of this proposal.

The landscape of Safeguarding is changing; the focus is moving from interfamilial abuse to include very complex contextual safeguarding concerns which present high risk. The traditional board models do not facilitate innovative solutions to high risk complex situations.

The Bristol proposal for a local 'place' based option offers a solution which facilitates cross working based on local risks and fits well with the One City approach typified by the One City Plan .

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?

While safeguarding and safety can affect all citizens there are certain cohorts who are particularly vulnerable including refugees, children and young people, disabled people and frail elderly.

Bristol has the tenth largest population and is the eighth largest city in the country. The proportion of the population who are BAME is 22% in the 2016 census. The proportion of people living in Bristol who were not born in the UK is 15% of the total population. In Bristol, there are now at least 45 religions, at least 187 countries of birth represented and at least 91 main languages spoken. Furthermore, the new Working Together 2018 Draft guidance sets out the expectation of the safeguarding arrangements to engage with education settings in the city: Bristol has a large diverse education sector with 172 schools, not including a significant number of alternative education providers. In respect of health services, Bristol has five hospitals and a range of private hospitals, dental hospital and eye hospital services accepting patients from across the region. The local authority received over 22,800 contacts to First Response in the last twelve months. Its size and the complexity of its provider sector mean that safeguarding arrangements need significant reach to create impact and to ensure robust scrutiny.

There are considerable and growing overlaps in the issues of concern to the respective Boards (and sub groups); additionally there are gaps and shortfalls as a result of the silos that the Boards (and sub groups) inadvertently create.

There is an increasing growth in connectivity between the various boards e.g. sexual exploitation, hate crime, modern slavery, serious violence and gang crime and mate crimes, sexual and criminal exploitation of vulnerable adults which makes the differential agendas for the existing board structure less relevant with issues or concerns falling between the various remits these include:

- Youth offending team funding / PCSO funding and Safer Bristol
- Impact of Domestic abuse on children / Safer Bristol and LSCB
- Strategic commissioning / vision setting and all boards;
- Contextual safeguarding (the risk in the environment rather than the traditional risk in the home) is testing all service areas and consequently all boards / groups and requires a

collective, coordinated focus.

The threshold decision making regarding adult and children's serious case reviews have proved to be effective, however this is not necessarily always the case in relation to Domestic Homicide Reviews (DHRs). The Governmental approach does not currently enable nuanced learning. The new arrangement will seek to mitigate this.

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

Our diversity data is dependent on the quality of equalities monitoring from referring agencies. There are gaps in data for some protected characteristics citywide, especially where this has not historically been included in statutory reporting e.g. for gender reassignment.

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

Consultation is now under way to seek the views of youth participation groups, education providers, the voluntary, community and social enterprise sector, health providers, adult care providers, service users and the public on what the priorities of the new board should be. Contributions will be collected through a range of mediums including an online survey (also available in an easy read format), public consultation events, professional focus group events, participation group events, youth event / questionnaire. This activity closes on 13th May 2019.

In 2017 The BSCB Shadow Board sent a survey out to all young people attending secondary education within Bristol seeking their views on their priorities for safeguarding. Ten areas of concern were identified and which will be reflected in the strategic plan of the new Board. The young people identified eight key messages about safeguarding which will inform awareness-raising and communication work of the new Board. The survey identified concerns about the representation of certain groups including young people from Black and Ethnic groups and deprived areas of the city.

In 2018 the BSAB published a public consultation asking 'what we should do in 2018-2021', six priorities were identified and the need for advocacy to ensure that those who were not able to represent themselves independently are supported to do so.

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 are not aware of any adverse impacts on people with protected characteristics from this proposal, as is intended to improve overall safeguarding arrangements in Bristol. A function of the existing safeguarding Boards is to take positive steps to tackle hate crime, discriminatory abuse, honour-based violence, FGM and carry out positive action to promote equality where possible. We will ensure that this remains a priority and is not overlooked in

through the merger. Additionally, partners including the Director of Adult Social Services, have stressed the need to maintain a focus on frail elderly vulnerabilities. The new model will ensure it supports scrutiny of provision and service delivery across all four statutory functions. This includes the need to maintain oversight of safeguarding and safety issues impacting minority groups and issues which do not cross the four functions such as the care and support needs of older adults. The issue of older people with care and support needs and the safeguarding needs of older people particularly in residential accommodation are a key focus of the adult safeguarding board and this focus must be maintained in any new structure, this will be mitigated by clarity of plan and Independent Chair's role. An Independent Chair has been recruited to support the Executive Board and provide robust oversight that all functions are being discharged.

The safeguarding policies for specific groups i.e. children and adults will remain in publication and will be reviewed as appropriate.

Disengagement of smaller community groups – Sector engagement events have developed clear lines of representation and engagement with the new approach. An annual consultation event will be held open to all partners across the city. The new Task and Finish model will enable wider engagement with opportunities with less of a resource burden.

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

Yes, as described this proposal sets out to improve Bristol's safeguarding arrangements for children, adults, families and communities and thereby the intention is to reduce adverse impact on citizens of Bristol and people with protected characteristics. Further mitigations in place include an independent chair, representation from VCSE and public consultation.

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

Yes, the proposal sets out to better safeguard all people including equalities groups.

3.4 Can they be maximised? If so, how?

Yes, by contributing to in the development of the strategic plan and participating in reference groups which will be established to inform, support, and challenge the Board on the delivery of the plan.

Step 4: So what?

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

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

It has reinforced the importance of taking a new approach and of working collaboratively across the partnership to improve safeguarding arrangements in the city.

4.2 What actions have been identified going forward?

There is a project plan in place. Further consultation responses will be used to update this impact assessment and inform the strategic direction of the Board. This will include consideration of the diversity of Board members.

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

There will be an annual report published.

Service Director Sign-Off:



Jacqui Jensen

Date: 01/05/2019

Equalities Officer Sign Off:



Duncan Fleming

Date: 29/4/2019

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 10 June 2018

TITLE	Adult Carers Support Service contracts		
Ward(s)	All		
Author: Carol Watson	Job title: Head of Adult Care Commissioning		
Cabinet lead: Cllr Helen Holland	Executive Director lead: Jacqui Jensen		
Proposal origin: <i>BCC Staff</i>			
Decision maker: Cabinet Member			
Decision forum: <i>Cabinet</i>			
Purpose of Report: To approve the extensions of existing Adult Carers contracts and authorise the re-commissioning of carers support services based on a refreshed Carers Strategy.			
Evidence Base:			
<ol style="list-style-type: none"> 1. Adult carers are the largest social care workforce in the city, and prevent significant additional costs being added to the Adult Social Care budget. They provide essential support, practical help and physical care to family and friends. This is reflected in the Bristol Carers’ Strategy. 2. The role of carer can take a toll on people’s emotional and physical wellbeing, and carers can become isolated or may not know how best to assist their loved one. Carers’ support is therefore an essential element of avoiding carer breakdown with associated human and financial consequences. Carer breakdown can lead to an increase in services required from BCC for a vulnerable adult or disabled child, including residential care. Bristol City Council and Bristol, North Somerset and South Gloucestershire Clinical Commissioning Group (BNSSG CCG) jointly share a pooled budget (£1.8m per year) under a Section 75 agreement to support carers in the city. 3. Under the Care Act 2014 Bristol City Council has a statutory duty to support carers in the city. The provision of citywide support services to carers is a key part of this, and is also a key strategic element of delivering the Better Lives programme. There is a well-established set of carers’ organisations in the City. Bristol has had a Carers’ Strategy for some time, and recognition of carers needs are a focus in Adult Care, including a Bristol City Council Integrated Carers’ Team. 4. The Council entered into agreements for Bristol Black Carers’ Support Services, Carers’ Support Centre, Chinese Women’s Group from 2007/2008, and parent carers’ support services from 2008. These agreements have been viewed historically as grant agreements, and have been extended a number of times. 5. This report proposes the ratification of recent extensions of the Current Carers’ Support Services Contracts funded partially through the Pooled Carers’ Budgets, for the periods and values set out below 			
	Contract	Duration of extension	Value of extension
	Parent Carers’ Support Service	1 April 2019 to 30 June 2020	£25,723
	Chinese Women’s Group	1 April 2019 to 30 June 2020	£45,641
	Carers’ Support Service	1 April 2019 to 30 June 2020	£470,711

(partially funded by BNSSG CCG)		
Carers' Services (Black Carers Support)	1 April 2019 to 30 June 2020	£75,731

6. The Council commenced the re-commissioning of adult carers' services in October 2018. There have been unavoidable delays in undertaking the recommissioning process for a number of reasons including the aspiration to consider a whole city approach to supporting carers, bringing together a set of separate contracts and the appointment of a new strategic lead for Carers who will now take forward refreshing the Carers Strategy and strategically re-commissioning in line with this Strategy.
7. There has also been a delay in establishing the exact level of contribution from the CCG to the process. The delay in finalising these CCG contributions has impacted on neighbouring authorities, South Gloucestershire and North Somerset - who have also delayed their commissioning intentions. Some of these services work across more than one authority. It is now confirmed that the BNSSG CCG contribution for next year will be £216,514.
8. Extending the existing contracts to 30 June 2020 will allow time to agree a new strategy for carers and to ensure services are recommissioned in line with the revised proposals. This will also allow time for both carers themselves and key carers' organisations to be involved in producing a revised Carers Strategy, following which BCC and CCG will commence an appropriate re-commissioning process.
9. The consequence of this recommendation not being agreed would be that existing contracts will cease, meaning a range of services for carers would be lost with implications for meeting our statutory duties (and loss of the BNSSG CCG funding contribution). A shorter extension has been considered, however this would mean two sets of simultaneous activity; consultation on a Draft commissioning plan & consultation on a Draft Carers' strategy.
10. The commissioning cycle has started. A whole city approach will be taken, produced with carers themselves, to ensure that resources, including BCC funding, are used in the most effective way to deliver services for carers in Bristol. The engagement activity will synchronise with engagement and consultation on the Draft Carers' Strategy due to take place during summer 2019. This will avoid duplication of activity, and the placing of additional demands on carers and the organisations that support them. This strategic re-commissioning of Carers services is being recommended through this report.

Cabinet Member / Officer Recommendations:

That Cabinet: -

1. Approve the recent extensions of the contracts for:
 - a) Bristol Black Carers' Support Services from 1 April 2019 to 30 June 2020 to the value of £75,731
 - b) Carers' Support Centre from 1 April 2019 to 30 June 2020 to the value of £470,711
 - c) Chinese Women's Group from 1 April 2019 to 30 June 2020 to the value of £45,641
 - d) Parent Carers' Support Services from 1 April 2019 to 30 June 2020 to the value of £25,723
2. Authorise the Executive Director: People in consultation with the Cabinet Member for People to re-commission carers services in Bristol within a total budget envelope of £3,089,030 m from 1 July 2020 to 30 June 2025 (subject to joint CCG budget approvals).

Corporate Strategy alignment:

There are clear local strategic drivers and values that underpin the recommissioning of carers services. They are:

1. The BCC Market Position Statement for Adult Social Care: The MPS outlines key objectives for meeting the needs of carers in Bristol which are to
 - a. Ensure best value for money from public funds, to support carers in their caring role, both from a social care and health perspective.
 - b. Support delivery of the Carers Strategy, particularly focused on areas where there are currently no

services to support key outcomes.

- c. Ensure future flexibility of services to meet changing demands in the city.
 - d. Ensure a partnership approach with carers and organisations in the City to design and deliver new services.
 - e. Work to embed the Better Lives programme in the way that services and communities are enabled to support carers in Bristol.
2. BCC Corporate Strategy 2018-23
 - a. Empowering and Caring: Work with partners to empower communities and individuals, increase Independence and support those who need it.
 - b. Fair and Inclusive: Improve economic and social equity, pursuing economic growth which includes everyone.
 - c. Well Connected: Take bold and innovative steps to make Bristol a joined up city, linking up people with jobs and with each other.
 - d. Wellbeing: Create healthier and more resilient communities where life expectancy is not determined by wealth or background
 3. Mayor’s Vision: To ensure life chances and health are not determined by wealth and background.
 4. Adults Social Care Strategic Plan 2016-2020: People can get the right help at the right time to promote independence and to prevent, reduce or delay the need for long-term support.

City Benefits:

This proposal ensures the continued provision of high quality Carers services for which the Council has a statutory responsibility to provide, with a commissioning approach which will provide best value for the tax-payer and the best service for carers needing support.

Consultation Details:

Early engagement has taken place with current providers and service users to review current services and develop a service user engagement process throughout the commissioning cycle.
The consultation on the Draft Commissioning plan for Carers services will take place, to be scheduled after the Carers Strategy has been refreshed.

Background Documents:

The Care Act 2014 placed a legal duty on councils to assess a carer’s need for support (20 - Duty and power to meet a carer’s needs for support). <http://www.legislation.gov.uk/ukpga/2014/23/section/20/enacted>
BCC Market Position Statement June 2018 A full recommissioning of all contracts to support carers in their role will be carried out during 2018-19. This will be based on the requirements set out in the Carers Strategy 2015-2020. <https://www.bristol.gov.uk/documents/20182/2678414/Market+Position+Statement/bdd21e05-0a76-94ae-4094-246ad9eb5739>
The current Carers strategy is hosted on the BCC website <https://www.bristol.gov.uk/policies-plans-and-strategies/carer-strategy>
Draft Full Carers Needs Analysis (external version) and Summary documents – See Appendix A

Revenue Cost	Recommendation 1- extension of existing contracts until June 2020 Total £617,806 (£401,292 - BCC £216,514 – CCG)	Source of Revenue Funding	General Fund: Cost centre 12096/12061 CCG: Section 75 agreement
	Recommendation 2 – Strategic recommissioning of Carers services		

	£3,089,030 Total: £3,706,836		
Capital Cost	£ zero	Source of Capital Funding	n/a
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 proposed costs of the contract extensions contained within this report are fully covered by BCC's current revenue budget for 2019/20 and 2020/21 together with agreed funding from the CCG.		
Finance Business Partner: Neil Sinclair, 30 th April 2019		
2. Legal Advice: The existing contracts have now expired and are continuing by way of extension in order to maintain services. It is recognised that the need to extend these contracts places the Council in a situation where it may breach the procurement regulations, and so expose the Council to a risk of challenge. The regulations do however allow for awarding contracts without running the usual competition process in certain circumstances, and furthermore provide a procedure whereby the Council might protect its position in the event of challenge. Officers will explore these options, together with any other operational arrangements which will avoid or minimise the risk on non-compliance. The fact that the extensions are required to allow time for the Council to review and potentially restructure the services for the benefit of service users, and then running a fully compliant tendering process, will also help mitigate the risk of challenge. Legal services will advise and assist officers with regard to the conduct of the proposed procurement process and the resulting contractual arrangements.		
Legal Team Leader: Sinead Willis, Team Leader, Corporate and Governance Team, 25 April 2019		
3. Implications on IT: "There are no identifiable direct IT implications in extend existing services. There may, however, be some implications regarding data sharing arrangements and technology should there be a change of supplier."		
IT Team Leader: Ian Gale, Head of IT, 24 April 2019		
4. HR Advice: The report is seeking agreement to waive Bristol City Council's procurement rules and to allow a direct award to three key carers organisations in the City, across 5 contracts to ensure the continued provision of high quality Carers services for which the Council has a statutory responsibility to provide. This proposal does not have any HR or employee implications.		
HR Partner: Lorna Laing, People & Culture HR Business Partner, Adults, Children & Education 25 April 2019		
EDM Sign-off	Jacqui Jensen	1 st May 2019
Cabinet Member sign-off	Councillor Helen Holland	29 th April 2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	03 rd May 2019

Appendix A – Further essential background / detail on the proposal Carers Needs Analysis : Summary	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 proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO

Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO



Appendix A

Key Needs Analysis findings – Adult Carers services

The following is a summary of findings of an extensive, and ongoing needs analysis which will be published as part of a revised Carers Strategy.

1. We know there at least 42,300 carers in Bristol (all ages), which is just under 1 in 10 of the population (9.4%), which is growing as the population rises.
2. 15% of all people over 65 in Bristol are carers. The older population is growing and this is likely to create more demand for carer support services.
3. Nationally Young carers are a largely hidden group and people from Black, Asian or Minority Ethnic Communities have a lower uptake of carer assessments and a lower incidence of accessing services. This needs to be taken account of in developing needs analyses, strategy and recommissioning of services,
4. There is a higher concentration of carers in the areas of the city with higher levels of deprivation, such as Avonmouth, Lockleaze, Frome Vale, Hillfields, Hartcliffe & Withywood, and Hengrove. These are also the areas of the city with higher levels of people living with a long term health problem or disability.
5. The needs of carers are becoming more complex and more people are living with long term conditions. There a significant number of carers supporting people with dementia and a growing demand for support for people with Learning Disabilities.
6. Of those carers who received a direct payment, the majority of people they are supporting needed help with physical support, either with Personal Care or Access and Mobility as their primary need.
7. There is a growing demand for services which will support access to;
 - 7.1 financial support and advice services
 - 7.2 community based services
 - 7.3 transport
 - 7.4 assessment services
 - 7.5 respite services, and hospital discharge support
 - 7.6 services that improve emotional wellbeing and isolation.

Bristol City Council Equality Impact Assessment Form

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



Name of proposal	Services for Carers – Recommissioning 2019
Directorate and Service Area	People Directorate – Adult Commissioning
Name of Lead Officer	Carol Watson

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?

Bristol City Council has a statutory (legal) duty to assess a carer's needs for support, where the carer appears to have such needs. There has been an increase in demand for carers support over the last 2 years since the introduction of the Care Act (2014), and this is expected to continue to rise.

'A carer is anyone who cares, unpaid, for a friend or family member who due to illness, disability, a mental health problem or an addiction cannot cope without their support' (Carers Trust).

The Carers services that are currently commissioned within Bristol City Council across Adult Health & Social Care and Children's Services are delivered by the Voluntary and Community Sector (VCS).

The Recommissioning of Carer Services in Bristol aims to –

- Analyse existing provision of adult carers services in Bristol
- Commission carers services in line with Public Procurement Regulations 2015.
- Devise a model for carers in line with the current principles within the Bristol Carers Strategy and Action Plan 2015-2020
- Map engagement with service users, providers and practitioners

throughout the commissioning cycle

- Meet statutory duties
- Secure best use of resources and securing value for money
- Commission effective services, streamlined with single-point of access so that citizens know where to go and the right people receive the right service (e.g. people are enabled to help themselves wherever they can and there is direct support for those who need it)
- Design a whole-system approach to Adult Carers support
- Creating closer longer-term/strategic partnerships working with neighbouring authorities and the Clinical Commissioning Group.

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?

Census Data – Information from Bristol JSNA 2018, and JSNA 2016/17

According to the 2011 Census, there are over 40,100 carers in Bristol (all ages), which is just under 1 in 10 of the population (9.4%). However, a more recent 2015 estimate indicates there are almost 42,300 carers in Bristol, an increase of 20.4% since 2001.

In the decade since the 2001 Census the number of unpaid carers recorded has increased by 5,000, but the proportion stayed the same (9.3% in 2001) as Bristol's population has risen considerably. The majority of adult carers (25,700) are caring under 20 hours a week but just over 9,000 are providing unpaid care for 50 hours or more each week.

Of the 40,100 unpaid carers identified in the 2011 Census, 860 were children under 16 and 2,700 were young people aged 16- 24. There are also 8,300 carers who are over 65 years of age (15% of all people over 65 in Bristol), and 40% of people in this age category (3,350 people) provide care for over 50 hours a week, which is disproportionately high. **75% of carers in Bristol are considered working age (18-64 years)** and 66% of carers combine work and

their caring role. Over 4,000 carers in Bristol are working and caring for 50 hours or more each week. (2011 Census).

There is a higher concentration of carers in the areas of the city with **higher levels of deprivation**, such as Avonmouth, Lockleaze, Fromevale, Hillfields, Hartcliffe & Withywood, and Hengrove. These are also the areas of the city with higher levels of people living with a **long term health problem or disability**.

Integrated Care Team Referrals and Direct Payments Analysis (2017/18) – Information from BCC LAS Database.

- 79% of Carers receiving a Direct Payment are **White British** which is similar to the Bristol average.
- 77% of Carers referred to the Integrated Carers Team are **White British**.
- The majority of referred and assessed carers to the Integrated Care Team are **female (67%)** which is higher than the Bristol average.
- **57% of assessed carers in 17/18 by the Integrated Carers Team were between the age 26-64**, followed by **41% over the age of 65**.
- 2% were between 18 and 25. **The average age of Carer receiving a direct payment is 60, and the average age of cared for is 69.**

Commissioned Services – Information from providers

Carers Support Centre (2017/18)

- 63.8% of carers were **White British**; however 22.8% of ethnicity not recorded.
- 2.8% of carers are of 'Any other White background' 2.6% of carers were Black or Black British Caribbean, and 1.7% 'Black or Black British African Other.' There is small representation from other ethnicities. .
- 70.5% of carers were **Female**
- 42% of service users who used the Carers Support Centre in 17/18 **were over the age of 64**.
- 14.6% of carers were disabled but 53% was not recorded.
- There is not enough information on religion, sexual orientation or gender identity to draw conclusions.

Bristol Black Carers

- The statistics show that Bristol Black Carers mainly provide services to the **Caribbean population**. The overwhelming majority are of Caribbean origin (64%), 10% 'Other Asian Background', 9% Somali and 5% African (non Somali).

Bristol and Avon Chinese Women's Group (2017/18)

- 90.2% of services users are of Chinese ethnicity.
- 23.0% are Christian, - 1.6% Muslim and 42.6% no religion. 27.9% is not recorded
- 18.0% are disabled
- 82.0% are Female
- 100% of service users are Heterosexual
- No service users are transgender
- 53% of service users are between the ages of 55 and 74

National Intelligence (*The Social Market Foundation Caring for Carer's report (July 2018)*).

- **Most carers are women** and this is increasing
- **A quarter of those who provide care are over the age of 65**
- Around half (51%) of family carers provide care within their home
- Family care is more commonly provided in more deprived areas, where carers are more likely to require state support.
- Carers are less likely to be in paid work and more likely to work part-time
- **Young carers** are more than one-and-a-half times as likely to be from **black, Asian or minority ethnic communities** (*Bristol Carers Strategy 2015-2020*).

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

Data on internal and commissioned services

There is a lack of data from commissioned providers on the demographic breakdown of service users, especially in the areas of religion, sexual orientation or gender identity where no analysis is possible.

There is a lack of data on referrals to the BCC Integrated Care Teams regarding sexual orientation, gender identity, and religion, where no analysis is possible.

Hidden Carers

We also know that many unpaid Carers across all ages, who are eligible for Carer Support Services, do not self – identify as carers and therefore do not come forward for Carer Assessments.

It is estimated that there are more young carers in Bristol than estimated as young carers are a largely hidden group, and may not be recognised within the family where they have caring responsibilities, or even identify themselves in that role.

Many studies also indicate that carers from Black, Asian and Minority Ethnic communities generally have a lower uptake of carer assessments and a lower incidence of accessing services

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

Service user and stakeholder consultation will be a key element of the recommissioning process. This will include engagement with service users, service user representation groups and forums, and engagement at internal and external stakeholder and provider meetings over a 12 week consultation period. This will include ensuring that involvement reaches all affected groups, including groups such as young carers and Black, Asian and Minority Ethnic groups that may be underrepresented in current service user engagement.

Consultation will include engagement with the Needs Analysis, Commissioning Strategy and Service Specifications.

Step 3: Who might the proposal impact?

Analysis of impacts on people with protected characteristics must be rigorous. Please demonstrate your g 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

Young Carers and Young Adult Carers are recognised as ‘Hidden Carers’ and have specific needs. It has been identified that the number of young carers currently accessing commissioned Carer Services is low. Carer Services should benefit young carers and young adult carers as long as these services are accessible and meet specific needs of young and young adult carers. There is potential for adverse impact if gaps in provision and needs are not recognised as part of the recommissioning of applicable Carer Services.

According to The Social Market Foundation One in five (21%) of those aged 55 to 59 provide family care, compared to 15% amongst the adult population as a whole. Whilst a substantial proportion of those who are of working age are providing care, the proportion of those above 65 who are providing care is also significant: 17% of those aged 75 to 79 are providing care, and this figure is likely to grow. Carer Services should benefit older carers as long as these services are accessible and meet the specific needs of older carers. There is potential for adverse impact if gaps in provision and needs are not recognised as part of the recommissioning of applicable services.

Disability

Carer Services should benefit carers with a disability and the disabled people they may care for, as long as these services are accessible and meet specific needs of disabled carers.

It has been highlighted for example that more people with learning disabilities and their family carers are growing old together. Research highlights that more people with learning disabilities are becoming carers for their partners as well as parents, and there is a danger this group is ‘hidden.’

According to Carers UK people providing care for a disabled child were the most likely to report that they get no support, with almost 3 in 10 (29%) stating this. (Carers UK ‘Carers Week’ Research Report 2018).

In the 2018 [Bristol Quality of Life Survey](#) 43% of respondents who were Carers also said they had a limiting illness, health problem or disability themselves, and 9.4% said their poor health prevented them from leaving the house when they want to.

Ethnicity

It is recognised that carers from Black, Asian and Minority Ethnic communities generally have a lower uptake of carer assessments and a lower incidence of accessing services. Sometimes they can face additional challenges if English is not their first language and if there are cultural needs that are not being acknowledged.

There is evidence of an underrepresentation of Black, Asian and Minority Ethnic groups receiving mainstream carer support services in Bristol, particularly among African and Pakistani groups (which could include the Somali Community).

It is recognised that statutory and other services need to work closely with community groups which often provide direct and culturally appropriate support services to carers (Bristol Carers Strategy 2015-2020). Bristol City Council must ensure that the needs of Black, Asian and Minority Ethnic communities are met through the recommissioning of services to ensure there is no adverse impact on any ethnicity.

Sex

The majority of carers are women. The proposals should have no adverse impact on people of different sex, as long as the specific needs of female carers are recognised. It is also recognised that male carers, especially older male carers, have specific needs and these must also be considered.

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. It is important that people do not experience barriers to social care services due to their sexual orientation.

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 recommissioning of services will include the opportunity to revise service specifications and set key performance indicators to ensure services are meeting the needs of people with protected characteristics and are non-discriminatory and advance equality of opportunity. This includes identifying any potential adverse impacts in current services and ensuring that these are eliminated or mitigated through the re-design of services.

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

The proposals have the potential to benefit people from many of the protected characteristics.

Age

The proposals should create benefits for older carers through the provision of services specifically to meet the Carer needs of this group. The specific needs of older carers, such as the impact of long term conditions, need to be recognised in service specifications.

Disability

Carers with a disability should benefit from the proposals through the provision of Carer Services that support carers with a disability and the disabled people they may care for. This includes the impact of Mental Health, Parent Carers who may care for a disabled child, and the specific carer needs of disabled people including carers with a learning disability.

Race

The proposals should create benefits through the provision of services specifically aimed at meeting the Carer needs of people from Black, Asian and Minority Ethnic groups, including where it has been identified there is an underrepresentation of Black, Asian and Minority Ethnic groups accessing carer services.

Sex

The proposals should create benefits for both male and female carers, recognising where carer services may need to be tailored to meet the specific needs of male or female carers, as identified in the Needs Analysis.

There is no evidence that the proposals would have a specific benefit for the following Protected Characteristics – Religion, Gender Reassignment, Sexual Orientation, Marriage and Civil partnership and Pregnancy and Maternity. However commissioned providers will be expected to record service user equalities information for all protected characteristics and ensure that services are non- discriminatory.

3.4 Can they be maximised? If so, how?

The commissioning process provides the opportunity to review service specifications and contracts with service providers. This could include the addition of measures, or changes, to the way we ask providers to deliver services, and what measures we performance monitor, to ensure the benefits of the proposals are maximised for the protected characteristics.

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 Equality Impact assessment has highlighted the need for the Recommissioning of Carers Services to:

- Ensure we commission providers that can meet the needs of the local carer population across the Protected Characteristics, including the Carer needs of Black, Asian and Minority Ethnic communities.
- Recognising where there may be an underrepresentation of Black, Asian

and Minority Ethnic groups currently accessing Carer Services and ensuring this is resolved.

- Ensure our service specifications specify that service delivery takes into account any needs in relation to the Protected Characteristics
- Consider whether equalities service standards and targets should be used in the contract specification or Performance Management Frameworks.
- Ensure that there is nothing preventing or discouraging small and medium-sized enterprises and Black, Asian and Minority Ethnic organisations accessing any future tendering activity
- Ensure any tender process ensure providers' employment policies, procedures and practices are not discriminatory

4.2 What actions have been identified going forward?

- Procure commissioned services that meet the needs of local populations including small and medium-sized enterprises groups, older 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 small and medium-sized enterprises businesses tendering, and encourages them to do so.
- Review and implement effective equalities service standards and targets as part of any revised performance management framework.
- Ensure consultation includes all those potentially affected by the proposals.

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 consultation and service re-design of future Carer Services. Once implemented, equalities monitoring will be managed through the 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:



Duncan Fleming

Date: 23/4/2019

Date: 27/2/2019

Decision Pathway – Report Template

PURPOSE: For reference

MEETING: Cabinet

DATE: 18 June 2018

TITLE	Better Lives Programme: "Help when people need it"		
Ward(s)	City wide		
Author:	Carol Watson	Job title:	Head of Adult Care Commissioning
Cabinet lead:	Helen Holland and Paul Smith	Executive Director lead:	Jacqui Jensen
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
<p>Purpose of Report: This report sets out an approach to services previously funded through "Supporting People" funding and provides an update to Cabinet on work carried out since a Cabinet decision in October 2018 to waiver current contracts to April 20, reducing them to actual spend where appropriate and aligning this work with Better Lives.</p> <p>We have worked with stakeholders to agree a commissioning plan which aligns with the work to deliver the Adult Care "Better Lives" vision adopted by the Council and is out for formal consultation. This consultation will be completed prior to submission to Cabinet and relevant points used to inform this report.</p> <p>This report identifies that these services deliver effective interventions that are either a Tier 2 "Help when you need it" approach or they deliver supported accommodation which helps the Council to meet the outcomes we want as part of our Better Lives at Home project.</p> <p>In consultation with the Cabinet member for Adult Social Care and the Cabinet member for Housing we are seeking :-</p> <ol style="list-style-type: none"> 1. That Cabinet approve the commissioning plan for purchase of Tier 2 "Help when you need it" support services. 2. That Cabinet delegate authority to the Director of Adult Social Care (in consultation with the Cabinet members for Adult Social care and Housing), to take all steps to procure and award contracts for Tier 2 support services in line with the commissioning plan, to the approximate value of £4,491,291 per annum for 3 years (with option to extend up to a further 3 years). 			
Evidence Base:			
<p>The Supporting People programme was launched in 2003 as a national £1.8 billion ring fenced grant to local authorities intended to fund services to help people with support needs to live independently. The level of grant was reduced in subsequent years and in 2009 the ring fence was removed from the grant thereby allowing all local authorities to spend their Supporting People allocation as they deemed appropriate. The Council continue to fund a diverse number of services that support people to remain independent in their own homes, maximise their incomes, reduce social isolation, manage their day to day lives and help them keep well and sustain recovery.</p> <p>£1.8 million was removed from this budget in 18/19 and we have successfully worked with current providers to achieve this budget reduction.</p> <p>We have worked closely with stakeholders, providers and service users to better understand the current services (former Supporting People services listed in Appendix A), the help required for adults with support needs and how they get the support they need. We have developed these recommendations with those stakeholders in the context of a longer –term transformation of Adult Social Care as set out in the Better Lives Programme and the need to support citizens living in general needs housing to access the right support `when they need it`.</p>			

Commissioning plan

The Council proposes to take the Adult Care Better Lives approach based on the Council's 3 Tier Model to purchase 'help when you need it' support using the reduced budget envelope as agreed by cabinet in December 2017.

We will :-

1. Spend approximately £1,133,000 on internal services including Welfare rights and money service, targeted floating support for people with a range of support needs including sensory impairment. These services will support external services as part of the joined up approach to the 'help when you need it' support offer e.g. WRAMAS will offer training to support workers in the externally purchased support services.
2. £2,825,291 per annum on external floating/community support for people with mental health needs, learning difficulties, autism, and physical health issues for older people and working age adults
3. £533,000 per annum on support to older people in externally provided sheltered housing.
4. Establish 'help when you need it' support that is sustainable to meet the needs for Citizens and is in line with City priorities. We will procure contracts for 3 years with option to extend for up to a further 3 years with break clauses as required.
5. Continue co-production with stakeholders working alongside commissioners and working to a shared set of principles.
6. Align the supported living services with the Better Lives at Home project and purchase these services in the future using the existing Community Support Service framework.
7. This work, including appropriate procurement activity, will be complete by no later than the end of march 2020, and will comply with EU procurement rules so far as necessary.

What difference will this make

Better Lives is the Adult Care transformation programme which aims to deliver improved outcomes and manage demand and spend based on the Council's 3 Tier Model, (see Appendix A). Commissioners have completed a needs analysis for 'help when you need it' support and worked with stakeholders to write this commissioning plan for what we want to buy (see appendix A) with the budget available. We understand that this forms only part of the wider Tier 2 offer (there is much support offered to people in the community that is not commissioned by the Council).

We want to buy health, wellbeing and housing related support for older people and people of working age who need support e.g. people with mental health needs, learning disabilities, autistic people, older people and people with HIV and people with physical and/or sensory impairment in sheltered housing and in the community.

These services will:

1. Focus on the outcomes to be achieved with people
2. Be time limited
3. Be easily accessible if people need to come back to the service
4. Work in a joined up way with other providers and parts of the social care system e.g. GP services/hospitals
5. Make the most of people's independence, finance, health and well being
6. Services will be accessed through agreed referral routes but will operate a 'no wrong door' policy. This means that people are re-directed successfully to the service that will best help them when they need it.

This help will need to have a city wide impact but does not necessarily have to be delivered by a City wide provider. Access to this support will be based on need rather than where someone lives. Services that provide this help will be expected to understand the localities that people are living in to ensure they are able to make links with local support networks and 'Tier 1' support available locally.

How we will change things to get the right support at the right time for people

The establishment of clear pathways for service users in and out of the right service at the right time and a joined up

approach has been a consistent theme in discussions with stakeholders. We will make changes to the way services are delivered through use of new service specifications of both internal services and through procurement of purchased external services to buy range of support for people `when they need it` in line with the agreed principles above. We will specify expectations for joint working such as shared resources for training, peer support and referral pathways.

Measuring success

We will measure the success of the support offered by checking

1. Quality of services
2. Measuring if they are doing what they say would do (are they achieving outcomes)
3. Customer satisfaction

Cabinet Member / Officer Recommendations:

1. That Cabinet approve the commissioning plan for purchase of Tier 2 “Help when you need it” support services.
2. That Cabinet delegate authority to the Director of Adult Social Care (in consultation with the Cabinet members for Adult Social care and Housing), to take all steps to procure and award contracts for Tier 2 support services in line with the commissioning plan, to the approximate value of £4,491,291 per annum for 3 years (with option to extend up to a further 3 years).

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

City Benefits: This proposal benefits the City as an investment in preventative services and it is an ‘Invest to Save’. Investment in this support to `help people when they need it` will reduce spend over time in more expensive care and support such as Community Support Services, homelessness provision and residential care. It will improve outcomes for citizens by enabling people to live independently in their home for as long as possible.

Consultation Details: These proposals have been discussed with providers, with whom there is an extensive coproduction approach underway and key stakeholders within the Care and Support Adults Directorate. They have been informed by Service User engagement. There was a formal consultation process undertaken to get feedback on the commissioning plan. This is set out in Appendix B.

Revenue Cost	£4,491,291 per annum	Source of Revenue Funding	General fund
Capital Cost	£0	Source of Capital Funding	Not applicable
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: This area of the Adult Social Care budget has been subject to significant budget savings over the past few years where £1.8m of savings has been delivered. It is important that the funding available for “Help when you need it” is directed to maximise the benefits of the investment and where possible reduce the need for formal service provision. As a result developing a series of metrics to measure the impact of the investment will be critical in supporting continued levels of funding. In addition maintaining current levels of funding of these services will depend on the impact made of that investment. The case for any further investment will be dependent on reducing funding in tier 3 services after delivery of any savings target.

Finance Business Partner: Neil Sinclair 5th April 2019

2. Legal Advice: Procurement of support services will need to comply with the Procurement Regulations and the Council’s own procurement rules.

Legal Team Leader: Eric Andrews – Team Leader 12th April 2019

3. Implications on IT: Although the “Better Lives” programme as a whole has significant IT ramifications, there are no identifiable IT implications associated with this particular element

IT Team Leader: Ian Gale – 11th April

4. HR Advice:

The report's focus is on the commissioning of Support Services that the Director of Adult Social Care can then procure the support services through a contract for 3 years with an option to extend for up to a further 3 years and align the accommodation based services with the Better lives at home project and purchase these services under the Community Support Service contract in the future. None of these proposals have any impact on Bristol City Council Employees or have any HR implications for our internal staff. However, there may be an impact on the providers if they are unsuccessful in the procurement process which may lead to TUPE transfers between our providers. If requested BCC HR would support any TUPE transfer between our providers.

HR Partner: Lorna Laing – 25th April 2019.

Background Documents:

EDM Sign-off	Jacqui Jensen	10/04/19
Cabinet Member sign-off	Helen Holland and Paul Smith	29/04/19
For Key Decisions - Mayor's Office sign-off	Mayor's office	13/5/19

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 ' There are no significant environmental impacts relating to this report and a full Eco IA is not required' Nicola Hares – 8/05/19	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

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Appendix A: The alignment of former Supporting People provision with Better Lives Vision - `Help when you need it`

Introduction

Supporting People services are free to people who use them and available to help a wide range of adults with support needs to live more independently in their community. The initial vision for these services was to provide housing related support to adults with support needs to enable them to remain independent. In many cases the support offered will avoid the need for people to access care and higher cost services. Examples of how the money is used include:

- buying services that help people to remain independent
- supporting people who may become homeless without this help
- helping people keep a tenancy
- stopping people needing more social care
- keeping people safe and well

In Bristol we have a very diverse range of services run by 43 different providers, providing 11 different types of services. These services are provided both `in house` by the council and by the independent and voluntary sector and include:

- supported living accommodation for people with mental health issues or a learning disability
- sheltered housing services
- welfare advice and training services
- a range of “floating support” that supports people in their own homes
- a community based mental health support service, including support for carers

Changes to Supporting People Funding and the funding of Supported Housing

The Supporting People programme was launched in 2003 as a £1.8 billion ring fenced grant to local authorities intended to fund services to help adults with support needs live independently.

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In an assessment undertaken for the Department for Communities and Local Government in 2009, CapGemini calculated that the net financial benefits of the programme were £3.41 billion.

The level of the grant was reduced in subsequent years, and in the 2010 Spending Review the Government announced that the Supporting People national funding levels would decrease from £1.64 billion in 2010/11 to £1.59 billion in 2014/15.

In 2009, the ring fence was removed from the grant thereby allowing all local authorities to spend their Supporting People allocation as they deemed appropriate.

Many local authorities have already recommissioned, re-designed or in some cases decommissioned services previously funded by supporting people grants. In turn, providers have also adapted their services to meet changing contractual and funding requirements.

A decision was made by Cabinet in December 2017 to reduce the budget for Supporting People services from 1 April 2018 and to co-design future services by 1 January 2019.

Future funding of Supported Housing

The government recently consulted on a new ‘flexible funding approach’ for the supported housing sector, to come in to effect from April 2020 which included housing costs for sheltered, extra care accommodation, and for short-term supported accommodation.

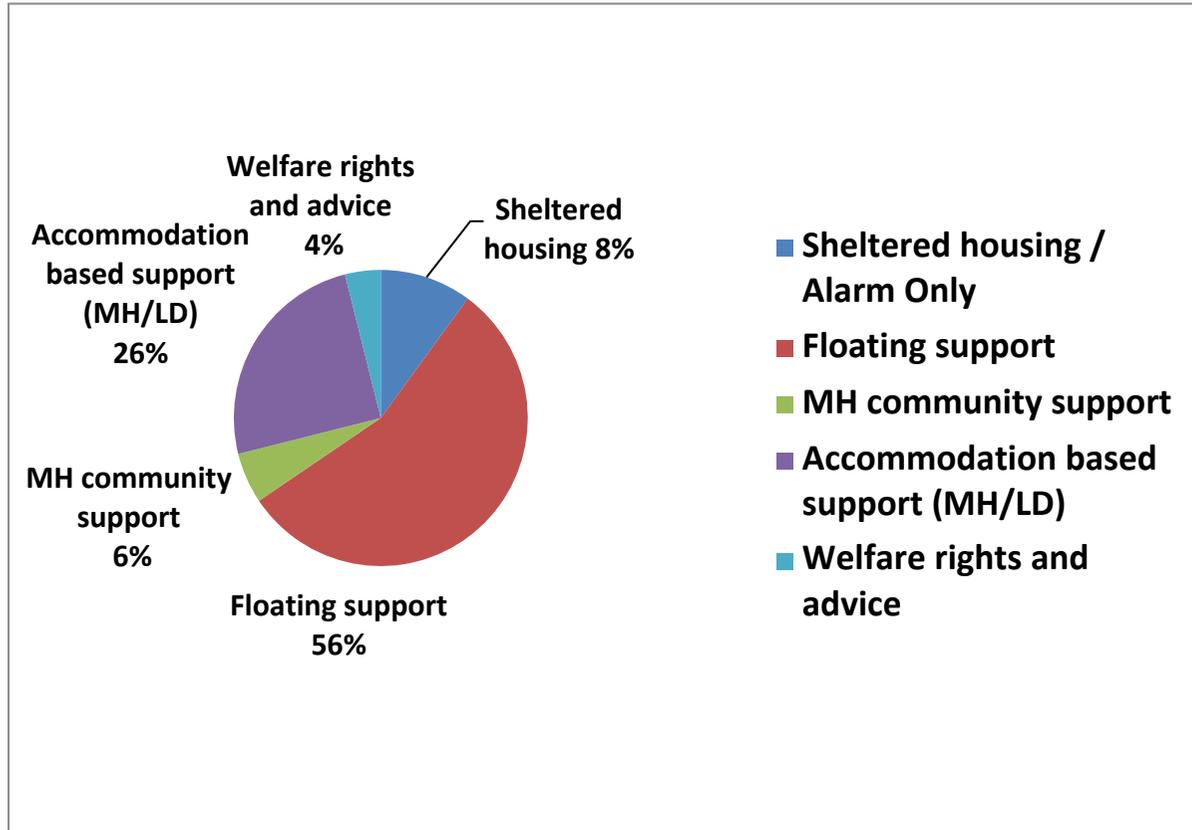
The government have concluded that they will not make any of the proposed changes and that these costs will remain in the welfare system through housing benefit.

Current service provision

Bristol City Council currently has a budget of £6 million which is spent on “Supporting People” services. It had been reduced by 1.8 million in 2018/19 to support the work to bridge the wider Council budget gap. We worked with providers of services to try and deliver this budget cut with the least impact on service users by reducing the number of places of accommodation/support available to people where there had been underutilisation in the past.

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The charts below shows you what this budget is currently spent on



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Who uses these services and what outcomes do they achieve?

As stated previously there are a diverse range of services that are purchased from this budget. They have been performance managed on the utilisation of their services. If services do not achieve this target in any given quarter then the shortfall is clawed back. All services have outcomes and are monitored through Adult Care Quality and Contracts team. There are KPIs, targets & monitoring focused on the broader outcomes for individuals on “maximising & maintaining independence” through services and “positive move on from support”. These are reported & monitored through quarterly workbooks. Recent commissioning of the mental health floating support services included more specific outcomes and similar approaches will be developed for other services in due course under appropriate approaches for Better Lives at Home or Tier 2 provision.

It is evident from work internally and nationally commissioned research that when people get the right support `when they need it` this saves money to the public purse and improves outcomes for people. In an assessment of Supporting People (SP) services undertaken for the Department for Communities and Local Government in 2009, Cap Gemini calculated that the net financial benefits of the Supporting People programme were £3.41 billion.

The table below sets out who uses these services, how much of it we buy and what outcomes are agreed and/or achieved.

Type of service	Who use these services	How many different service providers	How many people use the services (at one time and annual through put in 17/18)		Agreed outcomes
Sheltered housing	Older people (55+) Residents in sheltered housing schemes	7 – sheltered housing	836	n/k	Remain independent Improve health and wellbeing
Floating support	Older people	4	551	814	Remain independent
	People with MH issues	3	260	441	Access employment, education and training
		6	148	168	

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	People with a learning disability People with HIV People with sensory issues Generic - all of above People with eligible care needs who have longer term /complex support needs	1 1 1 1	24 55 280 451	35 323 701 n/k	Improve physical health Improve mental health Harm minimisation/recovery Maintain relationship with friends and family Improve health and wellbeing
Mental health community support	People with MH issues and carers	1	451		Improve health and wellbeing
Accommodation based support	People with a learning disability and or mental health issue People with sensory issues Approximately 1/3 are people with eligible care needs.	17 1	156 8	155 n/k	Remain independent Improve health and wellbeing
Welfare rights,	All above and	1	134	212 case	Maximise income

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advice and money service (WRAMAS)	advice/training to service providers			work 747 telephone advice	
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Maximising income - In the first seven months of 2017, the Community Support Team floating support service supported 124 people to increase their yearly equivalent incomes by a total of £600,838. Over twelve months, this would equate to over £1 million increase in incomes; for each £1 spent on the Community Support Team resulted in an approximate £1.70 increase to the income of vulnerable people.

Maintaining wellbeing - service providers offer health and wellbeing interventions, social isolation and hoarding support and hospital discharge planning. One provider who offers this service has seen hospital stays for tenants in the last six months reduce by 449 days, a saving for the NHS of £179,600 based on the cost at £400 per day for a hospital stay.

How this aligns with the Better lives vision.

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. The vision and activity set out in the Better Lives programme addresses the affordability of that approach through the development of a 3 tier model, and diversion from residential provision to supported accommodation. The Commissioning approach to deliver this is set out in our recently published Market Position Statement, “Working with us for Better Lives”

The Better lives vision for adult social care is that people can get the right level and type of support, at the right time to help prevent, reduce or delay the need for ongoing support, and to maximise people’s independence.

Part of the stated aims of the programme is to maximise the provider market by ensuring

- There is sufficient capacity in the local market to meet the needs of Bristol’s adults
- Providers are sustainable, safe and responsive to changes in the market
- Prices are stable and understood
- Providers are bought in to the 3 tier model and incentivised to improve independence

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Alignment of accommodation based services for adults of working age with Better Lives at Home

Analysis and review of the “Supporting People” services have shown that a number of these services are working with people who have complex care and support needs and/or need longer term “Tier 3” support that relates to their accommodation as well as support. These are in the main people with a learning disability or a mental health issue and are in supported living accommodation or long term floating support. These services should form part of the Tier 3 offer from Adult Social Care `help to live your life` and in line with the Better lives programme it is proposed that work is undertaken to align these services more fully with (and for them to help inform) the Better Lives at Home work stream.

People who are living in these services have been referred to the Adult social care review team – the team will undertake reviews of people to ensure they are getting the right level of support and these services will be purchased in the future using the Community support service framework (CSS) in the future. This should have no overall cost implications for the Council – this section of the budget will be passed over to the relevant Adult social care budget holders.

Tier 2 “Help when you need it”

Floating support, community mental health support, welfare rights and money advice services and support to people in sheltered housing enable people usually living in Local Authority or their own accommodation to retain their tenancies and/ or avoid the need for more intensive services or residential care provision. The Council will develop a support offer for vulnerable adults to deliver the right support `Help when you need it` - this will form part of the core offer for Tier 2 adult social care service offer across the City.

A **commissioning plan (Appendix 2)** for this support has been written based on the co-production events held throughout 2018. We are currently formally consulting people about what they think of this plan.

The plan outlines the vision for the future of this support and what the Council wants to buy to `help people when they need it`. In the future the support offered should :-

- align with other support for adults in Bristol to ensure that they form part of a network of help for people
- be for everyone who really need them and be easy to access
- be flexible in the help and support that they offer
- work with people in a positive way
- be time bound so that they help people quickly and that they are focussed in the support they offer
- be straightforward for people to get help again in the future if they need to

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The plan outlines the outcomes that this support should look to achieve with people who need support. It also outlines the options we have to buy this support.

Example of new ways of working to align with the vision

We have worked with providers to identify with them strategies to make the required budget savings. These discussions have led services to remodel the way they work to align with the Better lives vision. The following are some examples of how the “Better Lives Tier 2” lens has been applied and led to changes in service delivery to align with our Better Lives vision.

Sheltered housing

Old model - wardens were `attached` to each sheltered scheme. A warden would cover the support needs of people within a given scheme regardless of the needs of people within that scheme.

New model - health and wellbeing workers now work across all schemes on the basis of need. They have an internal and external focus. They support people living in the schemes and work more proactively with health care colleagues. When an older person has a period in hospital they continue that support to them and work closely with health colleagues enabling faster discharge back home.

Mental health floating support

Old model – all services had long waiting lists. Referrals come through the housing register and services have not achieved targets for waiting times.

New model – services are working together to jointly review HSR waiting lists. An agreed joint triage system is being used to reduce the wait times for these services.

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Appendix 1 – Current services purchase with this budget

Contract ID	OrganisationName	Service Name	Service Type	Max no. of units	Total annual value 19-20
BSP1119	3 Trees Community Support Ltd	Ashworthy Floating Support Service	Accommodation Based Service	2	£20,539
BSP1006	Age UK Bristol	Floating Support - Short term	Floating Support Service	68	£156,676
BSP1131	Age UK Bristol	Floating Support Long Term	Floating Support Service	34	£52,771
BSP1160	Alliance	Floating Support to Older People with Mental Health Problems	Floating Support Service	5	£13,928
BSP1111	Anchor Trust	Penfield Court	Accommodation Based Service - Sheltered Housing	10	£1,987
BSP1024	Brandon Trust	Falcondale Road(436)	Accommodation Based Service	3	£69,756
BSP1058	Brandon Trust	The Brandon Trust Floating Support Service	Floating Support Service	15	£82,134
BSP1013	Brigstowe Project	FLOATING SUPPORT(308)	Floating Support Service	20	£73,145
BSP1005	Bristol Charities	ORCHARD HOMES(130)	Accommodation Based Service - Sheltered Housing	41	£14,944
BSP1015	Bristol City Council	Community Support Team	Floating Support Service	280	£504,631
BSP1015	Bristol City Council	Sensory Support Service	Floating Support Service	55	£282,150
BSP1062	Bristol City Council	Welfare Rights Support Service	Floating Support Service	81	£174,198
BSP1134	Bristol City Council	Buckley Court	Accommodation Based Service	8	£108,520

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BSP1062	Bristol City Council	Money Advice Support Service	Floating Support Service	53	£63,404
BSP1138	Brunelcare	Sheltered Housing Floating Support	Floating Support Service	351	£368,118
BSP1012	Brunelcare	Floating Support for Older People with Dementia(446)	Floating Support Service	17	£50,997
BSP1153	Choisy Care Ltd	Choisy Care	Accommodation Based Service	1	£28,776
BSP1046	Cintre Community	Cintre Reachout(271)	Floating Support Service	22	£86,687
BSP1023	Dimensions (UK)	Dimensions Support Services	Accommodation Based Service	2	£102,631
BSP1122	Freeways Trust Ltd	Freeways Floating Support Service	Floating Support Service	15	£217,279
BSP1000	HF Trust Ltd	Apsley Garden Apartments	Accommodation Based Service	4	£119,122
BSP1091	Housing & Care 21	Housing 21 Sheltered Housing(338a)	Accommodation Based Service - Sheltered Housing	48	£1,251
BSP1126	Improving Prospects Ltd (t/a Manor Community Supportive Living)	Manor Community Supportive Living	Accommodation Based Service	5	£56,168
BSP1033	Keyring	Keyring Living Support Networks	Floating Support Service	27	£88,118
BSP1009	LiveWest (formerlyKnightstone HA)	Sheltered Housing(122a)	Accommodation Based Service - Sheltered Housing	40	£7,404
BSP1008	LiveWest (formerlyKnightstone HA)	Strathearn Drive	Accommodation Based Service	3	£7,388
BSP1009	LiveWest (formerlyKnightstone HA)	KNIGHTSTONE MOUNT(121)	Accommodation Based Service - Sheltered Housing	2	£370
BSP1019	Maples Community Housing Ltd	MAPLES COMMUNITY HOUSING LTD(103)	Accommodation Based Service	16	£136,607

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BSP1045	Milestones Trust	Aspects & Milestones Floating Support Service	Floating Support Service	70	£350,848
MHFS1	Missing Link	Mental Health Floating Support Service	Floating Support Service	50	£193,808
BSP1156	New Beginnings Bristol Ltd	New Beginnings Bristol Ltd	Accommodation Based Service	1	£79,817
MHFS2	Places for People	Mental Health Floating Support Service	Floating Support Service	116	£497,184
BSP1003	Places for People	Sheltered Housing - Warden Support (567)	Accommodation Based Service - Sheltered Housing	71	£23,990
BSP1002	Raphael House	RAPHAEL HOUSE(421)	Accommodation Based Service	7	£147,417
BSP1120	Royal Mencap Society	Mencap Floating Support Service	Accommodation Based Service	1	£25,675
361	S.I.L.S Stepping Stones To Ind	S.I.L.S STEPPING STONES TO INDEPENDENCE(16)	Floating Support Service	23	£179,757
BSP1129	Sanctuary Housing Association	Stoneleigh House	Accommodation Based Service	12	£35,472
BSP1032	Second Step Housing Association	SUPPORTED HOUSING - PERMANENT(506a)	Accommodation Based Service	31	£132,369
BSP1121	Silva Care Ltd	Silva Care Support	Accommodation Based Service	1	£10,270
BSP1089	St Monica Trust	ST MONICA TRUST SHELTERED HOUSING(83)	Accommodation Based Service - Sheltered Housing	1	£1,956
MHFS3	St Mungos	Mental Health Floating Support Service	Floating Support Service	94	£344,885
BSP1125	Supported Independence	Floating Support	Floating Support Service	30	£129,904
BSP1092	The Guinness Trust	GHA - Sheltered Housing with Warden support(550a)	Accommodation Based Service - Sheltered Housing	9	£15,664
BSP1093	The Guinness Trust	Rockingham Gardens	Accommodation Based Service - Sheltered Housing	23	£4,593

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BSP1106	United Housing Association	Community Support	Floating Support Service	5	£6,315
BSP1020	Willowbank Care Ltd	Filwood and the Flat	Accommodation Based Service	2	£25,654
	Rethink	Long Term Mental Health Community Support Service	VCS	451	£335,291

Appendix 2

[Commissioning plan](#)

Appendix B

Engagement and Consultation report

May 2019 update

1:0 Engagement introduction

We engaged with approximately 100 service users receiving services from the budget called “Supporting People” between July and August 2018 as part of the Co-design process. Service user feedback surveys were sent out online and via providers. An Easy Read version was also provided. A service user engagement event was also held on 6 July 2018.

1:1 Feedback rate

- Survey 1 was completed by 27 service users. 75% of these service users had help with filling in the survey. The large majority of respondents received a Community Support Team Service, but also included responses from Mental Health services and other Floating Support services.
- Survey 2 was completed by 18 service users. The large majority of respondents received a Community Support Team Service, but also included responses from HIV support services and accommodation based services.
- The Easy Read survey was completed by 5 service users.
- 25 service users attended the service user engagement event, which included 1-1 interviews and group discussions. Service users came from a range of accommodation based services and floating support services. Feedback from this event has been incorporated in the findings below.

1:2 Summary of Feedback

Meeting Needs

- The large majority of service users feel services are meeting their needs and making a positive difference to their lives. All respondents to Survey 1 said the service was either meeting their needs extremely well (59%) or very well (49%).
- 96% of respondents to Survey 1 felt services were making a positive difference to their lives.
- 82% of respondents to Survey 2 either strongly agreed or agreed that the service helped them keep their home. One service user commented: *‘I was going to be evicted due to rent arrears. My support worker helped me get my housing benefit and ESA back in place and negotiate paying off the arrears. I could not have done this on my own.’*

- The overwhelming majority of respondents to Survey 2 (87%) either agreed or strongly agreed that the service helps them to keep their home: *'I was going to be evicted due to rent arrears. My support worker helped me get my housing benefit and ESA back in place and negotiate paying off the arrears.'*
- The overwhelming majority of respondents to Survey 2 (78%) either agreed or strongly agreed that the service was helping them live more independently: *'I am able to live in my flat and manage my benefits and bills.'*
- The overwhelming majority of respondents to Survey 2 (83%) either strongly agreed or agreed that the service helps them cope: *'Without them I truly believe I would not be here today.'*
- 65% of respondents to Survey 2 either strongly agreed or agreed that the service helps them improve their confidence.
- The overwhelming majority of respondents to Survey 2 (78%) either strongly agreed or agreed that the service gives them good advice: *'My support worker is knowledgeable especially with the benefits system.'*
- 83% of respondents either strongly agreed or agreed that the service helps them when they need it.

1:3 How services could be improved

- 30% of respondents in Survey 1 felt that the service could help them in a better way. Respondents would like staff to be able to spend more time with them. Respondents would like staff to be able to do more things that are not 'housing related'.
- Only 56% of respondents agreed that the service helps them access the community. This suggests service users would like more help in this area.
- Some services users had to wait for a long time to access services and did not always know what services were available to them.
- Service users highlighted the need for better move-on options and the difficulty with accessing appropriate housing in Bristol.
- Service users would like more activities in sheltered housing and concerns were raised about what services may be available when people's needs increase. The design of older people's housing needs to be reviewed for future generations.
- Respondents said that they didn't want services to be reduced any further.

1:4 Engagement conclusions

It is clear that the large majority of service users feel “supporting people” funded services are meeting their needs. There is high satisfaction, particularly with the areas of sustaining tenancy, remaining independent, help to ‘cope’, and help ‘when they need it.’

Service users highlighted the benefit of a consistent staff team who are well trained and who they can trust. Respondents clearly valued support to access the community and other services, but would like more of these. It was clear that service users feel support interventions are preventing problems becoming more acute, and maintaining their independence.

Respondents were particularly clear that services were supporting them with access to Income Support, PIP, and other benefits. Help with filling in forms, and attending appointments, were particularly highlighted.

In sheltered housing, access to staff and the security of the alarm service were highlighted as important.

2:0 Consultation introduction

The engagement and co-production work informed the development of a needs analysis and commissioning plan. The plan was published on the Council’s consultation hub on the City Councils website on 12th March 2019 and the formal consultation ran until 1st May 2019. The plan was published alongside an easy read version and the equality impact assessment.

The consultation asked people what they thought of the stated aims of the commissioning plan, if they agreed or disagreed with plans to ‘help people when they need it’, their views on outcomes that services should achieve and how we should buy this support in the future.

In addition to the information available online we ran a number of consultation events throughout the period, this included;

- Open public events in accessible City venues - north, south and central.
- Targeted focus groups with service user groups in sheltered housing, at Bristol Autistic Spectrum Service, the Sensory impairment service and floating support/community based services.

2:1 Feedback rate

- Online consultation survey was completed by 44 respondents
- Events and focus groups were attended by about 83 people

2:2 Summary of formal consultation feedback

- The majority of respondents agreed with the proposal to commission 'Help when you need it' services for older people and working age adults.
- The majority of respondents agreed with all the priorities for 'Help when you need it' services for working age adults with support needs, although there was more of a mix of views regarding whether services should be 'time limited'. Some respondents commented that services for people with Dementia and Learning Disabilities could not be time-limited and that people may be under pressure.
- The majority of respondents agreed with the outputs that should be used as measures of success for this commissioning plan.
- The majority of respondents agreed with the outcomes that should be used as measures of success for the commissioning plan. There were suggestions for other outcomes such as the difference enabled by interventions, the progress made at the time of ending support, and softer outcomes such as better able to use public transport/increased wellbeing.
- The majority of responders preferred the option to Purchase from an existing council framework (46.51%). This is closely followed by the option to create a 'Help when you need it framework' with an open tender process (37.21%).

People also told us in the focus groups that:

- Some people will find it hard to find out about services and self-refer. There must be accessible information about services and accessible routes into services - and for people to come back again.
- Services must effectively work together to find the right help for people.
- Loneliness and isolation is a big issue for people.
- A 'Peer Support' style of provision would provide additional social value to any service.
- Group – work interventions will not suit everybody.
- Services should be trying not to have waiting lists. They need to be more fluid and creative with how they offer support (i.e. use of Assistive Technology / Telephone s/ Skype).
- Having variable lengths of support on offer is important and people should not feel under pressure to meet outcomes.
- Outcome monitoring should be made easier.



Bristol City Council Equality Impact Assessment Form

Name of proposal	Supporting People commissioning – commissioning `help when you need it` support for adults with care and/or support needs.
Directorate and Service Area	People – Adults – Strategic Commissioning
Name of Lead Officer	Carol Watson

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?

A decision was made by Cabinet in October 2018 to extend the current contracts that the City Council has to provide support to:

- People in sheltered housing
- Floating support for older people
- People with mental health issues, learning difficulties, autism, sensory impairment and other support needs.

We also decided to make a plan for these services that is in line with the council's plan to improve lives for people with care and/or support needs – this is called our `Better lives` programme.

Existing contracts have been extended to April 2020 and the council will consult on how we should best spend this money after April 2020.

Recommendation 1: Commissioning of 'Help when you need it' services for older people – health, wellbeing and housing related support in sheltered housing and in the community.

These interventions will have City wide impact and will support older people to continue to remain living as independently as they are able to. These services will support the Council's '3 Tier model' by intervening and offering help `when people need it` that is time limited and targeted at older people. Older people

who might not yet need care services but do need support to help them to access health care, maximise their finances, budget successfully and access their community.

The service will work with people who are in both/either sheltered accommodation for people 55+ and people living in the community, or in their own tenancies/private housing. The key elements of this are that it will:

- Focus on outcomes to be achieved with older people
- Be time limited
- Easily accessible if people needed to come back to the service
- Work in an integrated way with other providers and parts of the social care system e.g. GP services/ hospitals
- Maximise independence, finance, health and well being
- Services will be accessed through agreed referral routes but will operate a `no wrong door` policy so that people are re-directed successfully to the service that will best help them when they need it.

Recommendation 2: Commissioning of ‘Help when you need it’ services for working age adults – health, wellbeing and housing related support for people in supported accommodation and in the community.

These interventions will have city-wide impact for people who have additional support needs that relate to their mental health, physical health, sensory impairment and autism and /or learning difficulties to continue to remain living independently where they live. These services will support the Council’s ‘3 Tier model’ by intervening and offering help `when people need it` that is time limited and targeted to their needs.

People who might not yet need care services but do need support to help them to access health care, maximise their finances, budget successfully and access their community.

The key elements of this/these interventions is that it/they will

- Focus on outcomes to be achieved with people
- Be time limited
- Be easily accessible if people need to return for further support
- Work in an integrated way with other providers and other areas in peoples` lives e.g. GP services/ mental health services/housing

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services

- Maximise independence, finance, health and well being
- Services will be accessed through agreed referral routes but will operate a `no wrong door` policy so that people are re-directed successfully to the service that will best help them when they need it.

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?

Indicative service user numbers by type of service at any one time (September 2017)

Service	Service users
Sheltered housing alarm and warden services	1593
Community based support for mental health	451
Supported Living – LD and MH	340
Generic floating support (Community Support Teams)	280
Short term mental health floating support	260
Older people floating support	156
Advice Services, Welfare Rights and Money Advice Service	134
Long term floating support (LD and MH)	72
Physical and sensory impairment floating support	55
Floating support for people with HIV	24
Physical and sensory impairment supported housing	8

Sheltered Housing

The following data is taken from survey returns of 70% of sheltered housing providers (December 2018).

- The large majority of service users in sheltered housing are ‘White: English/Welsh/Scottish/Northern Irish/British (85%). This is higher than the average for Bristol in the 2011 Census (77.9%). 7% are ‘White: Other.’
- There is an overrepresentation of people of White British ethnicity

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compared with the Bristol population.

- 3% are ‘Black/Black British Caribbean.’ Other ethnicities are represented but at a low percentage. There is no known representation from Indian, Chinese or Pakistani ethnicities, for example.

Ethnicity	Number	%	2011 Census (Bristol)
White: English/Welsh/Scottish/ Northern Irish/British	227	85%	77.9%
White: Other White	18	7%	-
Black/Black British: Caribbean	8	3%	1.6%
Mixed: White and Black Caribbean	4	1.5%	-
Asian/Asian British: Chinese	4	1.5%	0.9%
White Irish	3	1.1%	0.9%
Black Other	2	0.7%	1.6%
Black/Black British: African	1	0.4%	-
Mixed: Other Mixed	1	0.4%	-
Other ethnic group: Other	1	0.4%	0.6%

- 32% of service users in sheltered housing have a disability, which is higher than the Bristol average (16.7%). The average age of those with a disability is 76 years. 49% of those with a disability have had a Care Act Assessment.
- Most service users have been living in sheltered housing for up to 5 years, although some have lived in sheltered housing for a significantly longer period of time.
- Most service users in sheltered housing need the primary support offered by living in sheltered housing (56%), with specific primary needs being identified around health, mobility, frailty and ageing.
- The majority of service users did not have a Secondary Need. ‘Support with Health’ (22%) was the most common secondary need followed by ‘Ageing’ and ‘Frailty’
- Almost half of service users in sheltered housing have had a Care Act Assessment (49%).

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- There was a lack of information on what other Care and Support services were received, although a third of service users did receive these. A small number of service users received Home Care and CSS services, suggesting there is a small need for eligible social care services.
- 77% of service users in sheltered housing say they are ‘Heterosexual or Straight.’ 2% Gay or Lesbian and 0.4% Bisexual.
- There is insufficient data to accurately draw conclusions regarding gender reassignment
- The majority of service users in sheltered housing are Christian (59%), followed by ‘No Religion’ (27%). Muslim and Jewish were the other religions recorded.

Floating Support

- 76% of floating support service users are White: English/Welsh/Scottish/Northern Irish/British, which is just under the Bristol average of 78.9%.
- 5% of service users are White Irish, 3% of service users are Black/Black British: Caribbean and 1.3% are Black/Black British: African. It is hard to compare data against the 2011 census due to differences in categorisation; however there is evidence that some ethnicities may be underrepresented, such as Pakistani, African and Indian ethnicities.

Ethnicity	Number	%	2011 Census (Bristol)
White: English/Welsh/Scottish/Northern Irish/British	1013	76%	78.9%
White Irish	64	5%	0.9%
Black/Black British: Caribbean	35	3%	1.6%
White: Other White	28	1.9%	
Any Other White Background	21	1.4%	
Black/Black British: African	19	1.3%	
Any Other Dual Background	18	1.2%	
Asian/Asian British: Other Asian	14	0.9%	
Mixed: White and Black Caribbean	14	0.9%	
Black/Black British: Other Black	11	0.7%	

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Other ethnic group: Other	11	0.7%	
Asian/Asian British: Pakistani	9	0.6%	
African	8	0.5%	2.8%
Mixed: Other Mixed	8	0.5%	
Any Other Ethnic Background	7	0.4%	
Asian/Asian British: Bangladeshi	7	0.4%	
Asian/Asian British: Indian	6	0.4%	
Caribbean	6	0.4%	
Dual: White & Asian	6	0.4%	
Pakistani	4	0.2%	1.6%
Mixed: White and Asian	3	0.2%	
Other ethnic group: Arab	3	0.2%	
Any Other Asian Background	2	0.1%	
Any Other Black Background	2	0.1%	
Dual: White & Black African	2	0.1%	
Indian	2	0.1%	1.5%
Mixed: White and Black African	2	0.1%	
Bangladeshi	1	0.1%	0.5%
Chinese	1	0.1%	0.9%
Dual: White & Black African	1	0.1%	
Refused	1	0.1%	
White: Gypsy or Irish Traveller	1	0.1%	

- Regarding Floating Support Service for people with HIV, provider data shows that Service users in this group are predominantly African nationalities, recent migrants to the UK, have HIV and are at risk of homelessness.
- There is a lack of information on religion to draw firm conclusions. 25% of service users have 'No Religion' while the largest recorded religion is Christian (23%), compared with the Bristol average of 46.8%. There is evidence of other religions.
- Primary needs are likely to be shaped by eligibility criteria. The large majority of Floating Support service users have a primary need of 'Mental Health' (43%). This is followed by Physical Disability (11%) and

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‘Older People with Support Needs (7%) and ‘Visual Impairment (7%). 6% of service users had a primary need of a ‘Carer’ (6%) or Learning Disabilities (6%). There is evidence of some need for Primary Support with Tenancy Support (2%). ‘Other’ primary needs included Autism, Dementia, Hoarding Support, Isolation and Support with Risk of Domestic Violence.

- Most service users did not have a secondary need (55%). The most common secondary need recorded was ‘Complex Needs’ (12%) followed by ‘Physical Health’ (9%), ‘Mental Health’ (7%) and Learning Disability (5%). ‘Other’ secondary needs included help with Finance, ‘Deaf’, ‘Elderly’ and Carer.
- The large majority of service users (84%) have received the service for less than 1 year. 13% of service users have received the service for between 1 year and under 4 years (13%).
- There was a lack of data received on the number of service users with a Care Act Assessment. We know that 14% of service users have received a Care Act Assessment while 47% have not.
- The large majority of floating support service users do not receive another Care and Support service (75%). 6% of service users receive Home Care and 4% received ‘Statutory Mental Health’ services. 1% of service users received CSS services. ‘Other’ services received included Extra Care Housing, Residential, Substance Misuse Services and Accommodation Based Services.
- There was a lack of data on disability. 53% of floating support service users have a disability, which is higher than the Bristol average of 16.7%.
- 54% of floating support service users are female.
- The largest age groups are the 51 to 55 age group (14%) and the 56-60 age group (13%). 12% of service users are under 30 while 4% of service users are over 81 years of age. The average age of floating support service users is 51.
- There is a lack of data on sexual orientation. 54% are Heterosexual or Straight, 1% Gay or Lesbian and 1% Bisexual.

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- There is insufficient data to accurately draw conclusions regarding gender identity.

Accommodation Based Services

Ethnicity

- 83% of Accommodation Based Services service users are White: English/Welsh/Scottish/ Northern Irish/British, which is higher than the Bristol average of 78.9%.
- It is hard to compare data against the 2011 census due to differences in categorisation; however there is evidence that some ethnicities may be underrepresented, such as Pakistani, African and Indian ethnicities.

	Number	%	2011 Census (Bristol)
White: English/Welsh/Scottish/ Northern Irish/British	216	83%	78.9%
Black/Black British: Caribbean	19	7%	1.6%
Mixed: White and Black Caribbean	5	1.9%	
White: Other White	5	1.9%	
Asian/Asian British: Bangladeshi	2	0.7%	
Asian/Asian British: Other Asian	2	0.7%	
Asian/Asian British: Pakistani	2	0.7%	1.6%
Black/Black British: African	2	0.7%	2.8%
Black/Black British: Other Black	2	0.7%	
Asian/Asian British: Indian	1	0.3%	1.5%
Mixed: Other Mixed	1	0.3%	
Mixed: White and Black African	1	0.3%	
Other ethnic group: Other	1	0.3%	
White: Irish	1	0.3%	0.9%

Known Primary Needs

- The majority of service users have a primary need of Mental Health (51%). The second highest primary need is Learning Disability (35%). Other primary needs included 'Deaf' (3%), 'Downs Syndrome' (3%) and Autism (2%).
- There are a wide range of recorded secondary needs. Mental Health and Learning Disabilities are the highest recorded secondary needs (13%), followed by 'Alcohol' (8%), Tenancy (8%), Drug use (7%), Dementia (7%), Mobility (7%) and Epilepsy (5%). Other recorded secondary needs include 'Elderly', 'Medication,' and 'Hoarding.'
- Most service users have been in Accommodation Based Services for under 5 years (46%), with 2 to <3 years the most common (16%). However 23% of service users have been in Accommodation Based Services for between 10 and <20 years, while 6% of service users have been receiving services for longer.
- 42% of service users have received a Care Act Assessment. Some data is missing so this figure could be higher.
- 55% of service users do not receive any other Care and Support Services. 12% receive 'Social Services funded support services' but no further detail was provided. 11% of service users receive Community Support Services, 6% Home Care, 3% Community Psychiatric Nurse services and 2% Mental Health Services. 'Other Services' included 'Community Treatment Order,' and 'Care and Repair.'
- There is a lack of data on Disability. 44% of service users have a disability and this number could be higher. This is higher than the Bristol average of 16.7%.
- 64% of Accommodation Based Services service users are male. This is higher than the Bristol average (50% women and 50% men) and confirms there are a disproportionate number of males in ABS services.
- There are a range of ages in Accommodation Based Services, however the majority of service users receiving services are between 51 and 55 years of age (18%) followed by those aged between 56 and 60 (14%).

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The average age of service users is 52.

- There is a lack of data on Sexual Orientation. 42% of service users are Heterosexual or Straight, 2% Gay or Lesbian and 1% Bisexual. 51% of data is not known or not recorded.
- 98% of service users identify as the same as the sex they were assigned at Birth, while 2% do not.
- Most service users have no religion (41%), compared with the Bristol average of 37.4%. Christianity is the highest recorded religion (32%) compared with the Bristol average of 46.8%. 3% of service users are Muslim compared with the Bristol average of 5%, and 1% 'Other.' However religion is unknown for 17% of service users.

General Trends

We know that Bristol has an ageing population and that this will gradually increase over the next few years.

The current mental health floating support services have seen significant demand and have consistently had a waiting list of people looking to access support. 6.8% of Bristol residents reported a low life satisfaction score, significantly more than nationally (4.8%) 2014/15 and our local data shows 13% have "below average mental wellbeing", but significantly more in deprived areas (20%).

Overall there has been a steady decline in the numbers of adults with learning disabilities living in both residential care and nursing care. More people with learning disabilities are living and being supported in community settings, including supported living. It is therefore likely that the demand for 'help when you need it' interventions, for people with a Learning Disability, will grow.

Older people are living for longer and there is more likelihood of people being diagnosed with Dementia.

There is likely to be an increase in mental health disorders locally above the national trend and comparatively (core city comparison).

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2.2 Who is missing? Are there any gaps in the data?
There is a lack of demographic data in the areas of sexual orientation, gender reassignment and religion.
2.3 How have we involved, or will we involve, communities and groups that could be affected?
As well as looking at the data we have also asked people who use the services at the moment and the people who provide these services how we should spend this money in the future and what sort of help people need to stay independent for as long as they can. We consulted with service users through specific questionnaires and focus groups and with providers through stakeholder engagement meetings. Going forward we will: <ul style="list-style-type: none">• Formally consult with Stakeholders and Service Users on the Commissioning Strategy for potential new services.

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?
Recommissioning of services could have an impact on almost all groups with protected characteristics in some way with a particular emphasis on older and disabled people, people with learning disabilities, people with mental health issues, people with physical and sensory impairment and people with a diagnosis of HIV. Age Many older service users, particularly those receiving support in the community, rely on access to floating support and sheltered housing services

to remain independent at home and preventing further crises. It is critical that the needs of people receiving these services is assessed and the impact of any agreed changes to service provision takes into account the impact on older people receiving support in the community and in sheltered housing.

Disability

The majority of people accessing community, accommodation based, and sheltered services have a disability, including physical and/or mental health support needs, including people with learning disabilities. As part of the recommissioning process it is important that people currently receiving these services continue to get ‘help when they need it’ in a fair and accessible way that meets their needs.

Many people receiving Information and Advice services have mental health problems and live in less affluent areas of the city. Interventions are critical to maintaining independence. This must be considered where services are recommissioned.

Sex

No adverse impacts identified. Some of the floating support services are specifically targeted towards women. Therefore any reduction in these services would need to be further assessed.

Ethnicity

There is currently an overrepresentation of White: English/Welsh/Scottish/Northern Irish/British ethnicity in Sheltered Housing and Accommodation Based Services compared with the local population. As part of the recommissioning process it will be important to ensure that services are accessible, and meet the needs of, the local population and services are monitored to ensure they are non-discriminatory.

Religion

No adverse impacts identified.

Gender Reassignment

No adverse impacts identified. Regarding Floating Support Service for people

with HIV, The Avert website states that “Transgender people are one of the groups most affected by the HIV epidemic and are 49 times more likely to be living with HIV than the general population. Globally, it is estimated that around 19% of transgender women are living with HIV”. Therefore any potential reduction in these services would need to be further assessed.

Sexual Orientation

There is a lack of profile data on sexual orientation. There is no evidence that the proposals would have an adverse impact. It is important that people do not experience barriers to care and support services due to their sexual orientation.

Marriage and Civil partnership

No adverse impacts identified.

Pregnancy and Maternity

No adverse impacts identified.

Other considerations

It has been identified that many service users with multiple protected characteristics have difficulty accessing mainstream services. We will be mindful of this in planning new services under the Better Lives and Tier 2 Work streams, which is particularly relevant for ‘help when you need it services.’

Most people accessing these services need help with support to maintain independent living (including benefit advice). Any potential reduction or recommissioning of support, could potentially lead to an increased risk of homelessness and/or risk to tenancy if the needs of people are not fully assessed as part of the recommissioning processes.

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

There is an excellent opportunity to mitigate any further adverse impact of changes through the re-design process. Since then a number of further provider and service users engagement events have taken place as part of the re-design project. By taking an approach of coproducing the new delivery model for these services, the impact on those with protected characteristics will continue to be considered at all stages to ensure that the

impact is not disproportionate.

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

- Creating new service models for all these services under the Bristol City Council 'Better Lives' Programme and 'Tier 2 Work stream' provides an opportunity to ensure that these services continue to benefit people with protected characteristics identified in this analysis.
- Key outcomes for the Better Lives programme are that more people will retain their independence through accessing support in the community and that more people will be supported to maintain / improve their independence and wellbeing through receiving care and support at home. The Better Lives programme aligns directly to one of the main themes in the refreshed Corporate Strategy and the related commitments :
 - Empowering and Caring: Work with the city to empower communities and individuals, increase independence and support those who need it.
 - Provide 'help to help yourself' and 'help when you need it' through a sustainable, safe and diverse system of adult and children's social care provision.
 - Prioritise community development and enable people to support their community.
- Services could potentially be remodelled to provide more benefits to people with protected characteristics than they already do. This must continue to be assessed through Equality Impact Assessment of the ongoing process and continued service user and stakeholder engagement.

3.4 Can they be maximised? If so, how?

- The recommendation to establish pathways that ensure people get support at the right time should have a positive impact. This should mean that people who need to access these services can do so when they need it, maximising the benefit of these services.

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- These services will continue to be targeted at vulnerable adults who are likely to be physically or mentally disabled or are older people. The support they receive will enable them to remain living independently in their own accommodation for longer and maximising independence outcomes will include improved health and wellbeing.

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 factors in the original equality impact assessments for the 2017 and 2018 Cabinet Decision have continued to be considered in the context of the new proposals.
- Provider and stakeholder engagement has continued and more information on those people potentially affected has been collected and assessed. This will be an ongoing process as the re-design process continues.
- This equality impact assessment has highlighted the need to ensure impact on people with protected characteristics continues to be assessed as part of the remodelling process under the 'Better Lives' Programme and 'Tier 2' Work streams.

4.2 What actions have been identified going forward?

- It is important that service user and stakeholder engagement continues as the commissioning proposals are developed.

Appendix E – Equality Impact Assessment Form

- Actions to mitigate the impact will continue to be looked for at each stage of the development of new proposals through engagement and coproduction with service users, providers and key partners.
- The future model will be developed and commissioned to effectively and efficiently meet identified need and demand whilst providing value for money and maximum impact. By working in coproduction with the service users, providers and partners, this will enable a greater knowledge of the needs of these client groups, as well as assist with understanding the interdependencies and how future provision of these housing related support services will effectively contribute to maximising independent living and improving health and wellbeing.
- This Equality Impact Assessment will be updated following the results of the consultation on the Commissioning Strategy and the finalisation of the Commissioning Plan.
- Providers contracting with Bristol City Council will be subject to an accreditation process to ensure that all providers have an up to date equalities policy which is reviewed on a minimum of every 3 years or more frequently where appropriate (i.e. changes to legislation). All current services have been required to meet the minimum standards of the Supporting People Quality Assessment Framework (QAF) as part of their contract.

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

The future success will be measured through both outcomes and outputs of the services we buy.

Outcomes - services will be measured using an agreed standard of outcome measurement. We will measure success by how effective providers are at meeting agreed outcomes with service users as outlined in Service Specifications.

Outputs – services will be measured on a variety of outputs that are relevant to the service provided. These will be:

Appendix E – Equality Impact Assessment Form

- numbers of people using the service
- the through put of service users
- inclusivity of services provided (equalities/demographic information)
- number of people who remain independent

Quality – will be measured using the City Councils Quality assessment framework

<p>Service Director Sign-Off:</p> <p><u>T A Defto</u></p>	<p>Equalities Officer Sign Off:</p> <p><i>Duncan Fleming</i></p> <p>Duncan Fleming</p>
<p>Date: 25/2/2019</p>	<p>Date: 21/2/2019</p>

Decision Pathway

PURPOSE: Key decision

MEETING: Cabinet

DATE: 18 June 2019

TITLE	A new profile of children's homes		
Ward(s)	City wide		
Author: Samantha Flowers	Job title: Senior Programme Manager		
Cabinet lead: Cllr Helen Godwin	Executive Director lead: Jacqui Jensen		
Proposal origin: <i>BCC Staff</i>			
Decision maker: Cabinet Member Decision forum: <i>Cabinet</i>			
Purpose of Report: The purpose of the report is to present the full business case which has been produced with the aim of delivering on our ambition to have a new profile of children's home in the city (as initially proposed within the Strengthening Families Cabinet report in January 2018).			
<p>Evidence Base: Re-profiling of Children's Homes is a project within the Strengthening Families transformation programme set up to enable the council to meet the needs of children in care whose complex needs and presentation mean that a foster family is not a viable option and a more intensive package of care is required. A remodelling of our existing provision, favouring smaller homes that more closely replicate an ordinary family home, would enable us to care for these children's needs locally.</p> <p>The proposal is that moving to a model of smaller group homes for 2 (possibly 3) children will facilitate better matching of children to available placements, where currently we are struggling to place children in our larger homes as it difficult to match 4 or 5 children with very complex needs together. A new model of smaller homes will result in improved occupancy rates in our children's homes and provide a better value for money service as well as opportunities to improve outcomes for the children and young people placed in our homes. This is a model which has been successfully adopted in other authorities such as Stoke and Nottingham.</p> <p>Once the first few homes become operational, the service benefits and the operational expectations can be tested. The nature of these changes is such that the programme could be stopped at a future point if the service benefits are not apparent.</p>			
Cabinet Member / Officer Recommendations:			
That Cabinet:			
<ol style="list-style-type: none"> 1. Note that following Cabinet's approval in January 2019, the first property of the new model has been purchased, refurbishment and Ofsted registration are underway, and it is due to open in the summer. 2. Approve the Re-profiling of the Children's Homes project, as described in the Full Business Case (see Appendix A). 3. Approve the release the remaining capital required (£3.3m) to deliver the project. 4. Authorise Executive Director for People, in consultation with the Cabinet Member for Women, Children and Young People, to take all necessary steps (including property acquisitions, procurement of necessary services and works) to deliver the project, within the allocated budget (including authority to take decisions to spend sums that would otherwise require a key decision). 			
Corporate Strategy alignment: The strategic intent and approach embodied within the Strengthening Families Programme, of which the Re-profiling of Children's Homes is a project, is contained within and referred to in Theme 1: Empower and Caring in the Bristol City Council Corporate Strategy 2018–2023 (specifically under point No. 3. Provide 'help to help yourself' and 'help when you need it' through a sustainable, safe and diverse system of social care and safeguarding provision, with a focus on early help and intervention).			
City Benefits: The premise of the project is to deliver efficiencies through improving outcomes for children, young			

people and families. The benefit is a model of children’s social care delivery which is sustainable for the future.

Consultation Details: There has been an extended period of engagement with staff and stakeholders across and beyond the organisation. The proposals formed part of the corporate strategy and budget discussions with the Mayor, Cabinet and the council’s senior leadership team and subsequently were included in the Corporate Strategy and Budget Consultation 2018-2023 within the Strengthening Families Programme. The proposals are the subject of a Scrutiny Task and Finish Group looking at demand in Children’s Social Care and have been the subject of a partner workshop discussing children’s social care transformation. Detailed community consultation will have to be undertaken each time a new site is identified.

Background Documents:

Revenue Cost	£3.792m , reducing by £0.142m over 4 years.	Source of Revenue Funding	Current budgets for existing in-house Children’s Homes and placement budget for out-of-authority places.
Capital Cost	£4.138m	Source of Capital Funding	£0.800m in current capital programme PE06 £3.338m in pending capital programme PE06A
One off cost <input checked="" 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 initiative is principally driven by the service view that smaller homes are better for children and young people in care than the larger, 4 and 5 bed homes that are currently used.

Although the proposal falls part of the Strengthening Families programme, this is not an initiative that is being pursued for financial reasons. The savings target of £0.304m, included in the Strengthening Families Programme, is not fully met by the option put forward in this business case: only £0.142m of savings are expected, a shortfall of £0.162m. This is in the context of the programme expecting to deliver £6m savings over 5 years.

The baseline cost for 17 occupied places is £3.792m. This option comes out at £3.650m - £0.142m cheaper than the baseline. The future configuration of 2 and 3-bed homes expects to provide 20 places at 80% occupancy (i.e. 16 places). This is more than the current 19 places at 55% occupancy (i.e. 10.5 places). So, the baseline and the options each consider how 16 places are currently provided (between in-house provision and out-of-authority places) and how they would be provided with the end-state option.

Current occupancy levels are 55%, which is low and makes the current in-house provision expensive (£0.259m per occupied place), compared to external (the average cost for the top ten most expensive is £0.196m). The level in the outline business case was 63%, so this lower occupancy has contributed to an increase in the baseline cost. A less generous assessment would have set the baseline occupancy higher than 55%.

The financial illustration, moreover, is heavily dependent on occupancy levels achieving a target of 80%. The service believes that the smaller homes make compatibility of house-mates easier. It is not clear whether the availability of suitable residential care candidates will occur at a regularity which will optimise that level of occupancy. It is open to the service to actively manage the facilities and sell spare places to neighbouring authorities.

A 5% shortfall in meeting the 80% target would cost an extra £0.2m and would remove the headline saving from the project.

The models have worked on the basis of operating costs of £440k for a 2 bed home (with one manager between 2 homes) and £472k for a 3 bed home (with one manager per home). These costs could only be changed if the service took a different view on the resourcing ratios needed for these new homes. The capital costs of £4.138m have increased since the outline business case. This is because a more detailed assessment of the market position and the

likely costs of bringing properties into use as children’s homes have been undertaken. The capital costs have been taken at mid-way between the open market and off-plan options of £527k. 3-bed homes are estimated to cost £50k more than this figure. Acquiring homes and disposing of existing ones would happen over a four year period.

There is £0.8m in the capital available in the capital programme. The balance of £3.338m will be funded from the earmarked £5m budget in the capital programme for children’s social care (PE06A), which was created pending a satisfactory business case. There will be £1.662m remaining in the capital programme for 2022/23 for this budget heading.

On the basis of £4.138m capital being spent on this overall programme, that equates to around £0.160m capital financing costs, but these are already built into the Medium Term Financial Plan (MTFP). There are, however, some disposals of assets associated with this initiative to mitigate such costs, but the MTFP has built in assumptions about capital receipts, too. While there will be capital receipts, either through the disposal of assets on the open market or through appropriation of assets by the Housing Revenue Account, these have not been included in this business case. Any financial gains from such transactions would be retained corporately to support the General Fund capital programme. Again, this is not an initiative that has clear financial benefits: it is broadly financially neutral, on the basis of the profile. Nonetheless, that does not change the fact that this is an initiative that is expected to have wider service benefits and the only way of demonstrating that is to proceed.

Once the first few homes become operational, the service benefits and the operational expectations can be tested. The nature of these changes is such that the programme could be stopped at a future point if the service benefits are not apparent.

Current revenue costs are greater than the forecast cost, subject to the caveats on risks outlined here. The additional £3.3m capital required to undertake the full programme (beyond the £0.8m already agreed) has been earmarked in the current capital programme.

Finance Business Partner: David Tully, Interim Finance Business Partner, 6 June 2019

2. Legal Advice: The proposal will involve the acquisition of properties and the procurement of services/works etc. for the adaptation of those properties to suit the Councils requirements.

All procurement activities will need to comply with the appropriate procurement regulations and/or council procurement rules.

The Council’s power to acquire property by agreement and at market value falls within the Local Government Act 1972 for the purpose of any of its functions, or for the benefit, improvement or development of the area.

The effect of the delegation sought will permit the Executive Director (subject to complying with Councils normal rules, including those on property acquisition and procurement) to expend sums in excess of the key decision threshold without further reference to cabinet.

Legal Team Leader: Eric Andrews, Team Leader, Legal Services 9.5.19

3. Implications on IT: There is no specific reference to IT provision in the business case, although I understand that anticipated costs are included in the fit-out costs. Any such requirement will need to be scheduled into the IT Services work programme at the appropriate time.

IT Team Leader: Ian Gale, Head of IT, 9 May 2019

4. HR Advice: There could potentially be significant HR implications for staff currently employed within the current Residential Homes we have. There could be different ways of working, different shifts for more continuity, new skills to learn for a new approach. Once we are further on in the project we will be able to undertake a specific piece of work to assess the impact on staff and then apply any policies or procedures as needed. There could be development opportunities as a result of the changes, training needs will also be met. A full Managing Change will be undertaken if appropriate in consultation with employees and their representatives.

HR Partner: Lorna Laing, People & Culture HR Business Partner, 3 May 2019

EDM Sign-off	Jacqui Jensen, Executive Director – People	17 April 2019
Cabinet Member sign-off	Councillor Helen Godwin	24 April 2019
For Key Decisions - Mayor’s	Mayor’s Office	3 May 2019

Office sign-off		
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Appendix A – Further essential background / detail on the proposal Full Business Case – Re-Profiling Children’s Homes (and associated appendices)	YES
Appendix B – Details of consultation carried out - internal and external refer to Section 19.4 in the accompanying Full Business Case (Appendix A)	NO
Appendix C – Summary of any engagement with scrutiny refer to Appendix A	NO
Appendix D – Risk assessment refer to Appendix 4 in the accompanying Full Business Case (Appendix A)	NO
Appendix E – Equalities screening / impact assessment of proposal Refer to Appendices 1 and 7 in the accompanying Full Business Case (Appendix A)	NO
Appendix F – Eco-impact screening/ impact assessment of proposal Refer to Appendix 8 in the accompanying Full Business Case (Appendix A)	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

Full Business Case



A. PROJECT SUMMARY INFORMATION

Project Name:	Re-profiling BCC Children's Homes		
Project ID:	18ST123.2		
Cabinet Member:	Helen Godwin	Lead Officer (Sponsor):	Ann James
Directorate(s):	People	Associated service areas:	Children & Family Services
Mandate:	Report lead author(s): Jacqui Jenson, Executive Director – People		
Outline Business Case:	Samantha Flowers, Programme Manager – Strengthening Families		
Full Business Case:	Rachel Abba, Project Manager – Strengthening Families James Beardall, Head of Service, Permanency & Specialist Support Samantha Flowers, Programme Manager – Strengthening Families Jo Duncan, Project Manager, Strengthening Families James Beardall, Head of Service, Permanency & Specialist Support		
Report recipients:	PMO assurance People EDM Cabinet Member Cabinet		

B. ORGANISATIONAL CONTEXT

Alignment to corporate theme(s):	This project aligns to the Empowering and Caring theme detailed within BCC's Business Plan 19/20 (specifically this project contributes to actions 3, 6 and 7).																			
Project category:	<input checked="" type="checkbox"/> Saving delivery	<input type="checkbox"/> Compliance / Statutory	<input checked="" type="checkbox"/> Risk reduction	<input checked="" type="checkbox"/> Cost avoidance	<input checked="" type="checkbox"/> Improved outcomes	<input type="checkbox"/> Enabling														
Council Budget saving delivery:	<p>Budget reference: FP31 Savings description (as stated in 18/19 and 19/20 approved budget):</p> <p>To respond to national and local challenges in children's social care, we are embarking on a 3-year programme to improve outcomes for children, young people and families and put us on a sustainable financial footing. The Statement of Intent for the Programme is to make cost savings whilst holding our ambition of improving outcomes, commissioning and delivering quality services and keeping "children and families" at the heart of what we do.</p> <table border="1"> <thead> <tr> <th></th> <th>18/19 £'000s</th> <th>19/20 £'000s</th> <th>20/21 £'000s</th> <th>21/22 £'000s</th> <th>22/23 £'000s</th> <th>Full Yr recurring £'000s</th> </tr> </thead> <tbody> <tr> <td>Saving:</td> <td>0</td> <td>38</td> <td>16</td> <td>-11</td> <td>100</td> <td>142</td> </tr> </tbody> </table>							18/19 £'000s	19/20 £'000s	20/21 £'000s	21/22 £'000s	22/23 £'000s	Full Yr recurring £'000s	Saving:	0	38	16	-11	100	142
	18/19 £'000s	19/20 £'000s	20/21 £'000s	21/22 £'000s	22/23 £'000s	Full Yr recurring £'000s														
Saving:	0	38	16	-11	100	142														

C. DOCUMENT CONTROL

Sections complete:	<input type="checkbox"/> Mandate	<input type="checkbox"/> Outline Business Case	<input checked="" type="checkbox"/> Full Business Case
Document status:	<input type="checkbox"/> Draft	<input checked="" type="checkbox"/> Final	
Document owner:	Samantha Flowers, Programme Manager – Strengthening Families		

Version control:			
Version	Author	Description	Date
V00_06	Jo Duncan	First draft	18/10/2018
V00_07	Jo Duncan	Second draft	22/10/2018
V00_10	Jo Duncan	revised with professional comments	31/10/2018
V00_13	Jo Duncan	revised with commentaries	09/11/2018
V1.0	Jo Duncan	Final following PMO assurance	27/11/2018
V2.0	Samantha Flowers	Revised following CLB attendance	
V2.1	Samantha Flowers	Updated financials	29/04/2019
V3.0	Samantha Flowers	updated commentaries/draft for Cabinet review	09/05/2019

EXECUTIVE SUMMARY: DECISION REQUIRED

Full Business Case (FBC) stage

Project context summary:

Re-profiling of Children’s Homes is a project within the Strengthening Families transformation programme in the People Directorate to enable the council to meet the needs of children in care whose complex needs and presentation mean that a foster family is not a viable option and a more intensive package of care is required. A re-profiling of our existing 4 and 5-bed provision favouring smaller homes that more closely replicate an ordinary family home, would enable us to care for these children’s needs locally and reduce our use of expensive out-of-authority placements.

Key changes since Outline Business Case approval:

1. Cabinet approval was achieved on 22 January 2019 to purchase a 4-bed property (providing a 2-bed home) located in the Stapleton area. Refurbishment of the property is underway and with anticipated opening in summer 2019.
2. The 10 x 2-bed model outlined in the OBC has been replaced with a 4 x 2-bed and 4 x 3-bed model in order to contain running costs within existing budget allocations.
3. Additional work undertaken at the request of the Section 151 Officer includes:
 - a) Delivering the future model of children’s homes is now not predicated on the disposal of the existing 4 and 5-bed homes; the capital funding for new homes and the disposal of existing homes (if declared surplus) are treated separately.
 - b) Extracting the narrative for strategic intent from within the OBC into the main body of the FBC to ensure this remains clearly in sight.
 - c) A more detailed look at our current cohort of children placed out-of-authority and a desktop exercise of a potential timetable for bringing children back to a new home in Bristol.
4. Recommendations from the PMO assurance of v1_00 of the FBC have been addressed in relation to the Project Plan (available at Appendix B.5) and the Project Team Resource Requirements table (at Section 20.2)

Recommended option:

The option being taken forward from the Outline Business Case is to re-profile the existing offer of 20 places across a blend of 2 and 3-bed homes. This is a change from the previously preferred recommendation of 10 x 2-bed homes as running costs for that model exceeded existing service budgets.

When conducting the options appraisals, the following requirements were tested:

1. Fewer children and young people in care will be placed out-of-authority
2. Occupancy rates of BCC homes will increase
3. Residential placements cost reduce
4. More children will live in 'ordinary houses'

The option now being pursued scored equally with the 10 x 2-bed model option on satisfying these requirements.

Anticipated cost/benefit profile for preferred option delivery:

Preferred Option: **Blend of 2 and 3-bed homes to deliver 20 places**

£'000	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Total
Total	18/19	19/20	20/21	21/22	22/23	23/24	
Total costs (gross capital)*	431	1,095	1,577	1,034	0	0	4,138
Total costs of existing provision (incremental revenue)	3,792	-950	-1,156	-1,129	-556	0	0
Total costs of new provision (incremental revenue)	0	912	1,141	1,141	456	0	3,650
Total revenue costs	3,792	-38	-16	+11	-100	0	
Net savings*	0	-38	-16	+11	-100	0	-142

Note *: Capital expenditure has been shown gross: £4.138m total spend on capital is planned, of which £0.800m is already agreed within the capital programme. Revenue expenditure is shown on an incremental basis: £3.792m spend on existing forms of provision for a cohort of children and young people will shift to £3.650m spend on the new blend of 2 and 3-bed homes over 4 years.

Confidence level	Supporting commentary
50 to 75%	Detailed work has been undertaken on capturing the costs of purchasing and refurbishing potential properties (either on the open market or off-plan as part of new housing development). Confidence levels, however, are pitched at between 50 and 75% due to the volatility of the Bristol property market, as well as the 'unknown' costs that can arise as part of any property purchase (even following a full survey). Similarly, refurbishment costs will differ dependent upon age and condition of the property purchase (more for a period property and less for off-plan where we able to specific more requirements as part of the build).

Identified sources of funding (including any shortfall):

- Children's Services Capital Programme: £800k (secured and included in capital cost-centre 15162 in PE06)
- Children's Services Capital Programme: £3.338m (from up to £5m earmarked in capital programme pending this business case in capital cost-centre 15292 in PE06A)
- Up to 3 of the new properties may be secured via transfers from the Housing Revenue

Account, but the appropriation of the assets would still require a charge for the cost of the transfer to the General Fund capital programme. This may impact the method of acquisition, but ought not to affect the need to budget for the full cost of acquiring new properties (which has been built into the table above).

Any decisions / endorsements already secured:

- Cabinet Member support for Strengthening Families Cabinet Report – 26 March 2018
- Approved FBC for Strengthening Families at Cabinet meeting – 3 April 2018
- Cabinet Member support for Re-profiling Children’s Homes project – 30 April 2018
- Approved OBC for Re-profiling Children’s Homes at DWG – 2 May 2018
- Approved FBC to proceed to CLB at People EDM – 14 November 2018
- Presented to Joint Cabinet Member Briefing – 19 November 2018
- Cabinet approval to proceed with first house purchase – 22 January 2019
- Approved final FBC to proceed to Cabinet at People EDM – 17 April 2019

Total capital funding required	As per table above	£4.138m
Total spend to date:	2018/19 spend on purchase of first property	£0.431m
Other committed cost:s	Remaining costs in 2019/20 for bringing the first property into operation	£0.061m
Further costs to deliver project:		£3.646m
Funding source 1:	Children’s Services Capital Programme PE06 (ie remainder of initial £0.8m capital allocation agreed Feb 2018)	£0.308m
Funding source 2: (the focus of this business case)	Children’s Services Capital Programme PE06A (i.e. amount of <£5m earmarked for Children’s Social Care)	£3.338m
Est. timescale for project delivery:	2018 to 2023	

MANDATE

The mandate for this project is contained within the Full Business Case for Strengthening Families Programme. The Cabinet papers are available [here](#) or direct from the Strengthening Families Programme Manager, Samantha Flowers.

OUTLINE BUSINESS CASE

The Outline Business Case was completed and achieved DWG approval to proceed to Full Business Case on 2 May 2018. The OBC was independently assured by the PMO and achieved a GREEN rating. The Options Appraisal section of the OBC is available at Appendix B.4.

FULL BUSINESS CASE

17. Project overview

Bristol City Council ('BCC') has a statutory duty under s22 of The Children Act 1989 to take steps to ensure, as far as practicable, that we can provide looked after children with locally based placements that can meet their needs ('the sufficiency duty').¹

Wherever possible, we want children and young people to live in a family setting and we only place in a children's home or residential special school when this is the best option to meet their needs. The number of children in residential settings (including our own children's homes) has increased from around 45 five years ago to around 58 currently.

In the event that a child or young person does require local authority care, then a stable, well-matched placement where they can live until prepared and ready to leave is the single most influential factor in improving children's outcomes and creating the conditions from which they can go on to live successful adult lives. When we look to make a placement match we are required to carry out an impact assessment which looks at whether the needs of the young person are compatible with the needs of the other young people already in the setting and also the skills of the staff group. Other considerations such as community and location are also taken into account.

Current provision: BCC Children's Homes

We currently have 4 children's homes; 3 five-bed homes (Tarnock Avenue, Bishopthorpe Road and Witch Hazel Road) and 1 four-bed home (Briar Way – which is currently closed). Silbury Road Children's Home was handed over to Housing Delivery for demolition in the summer of 2018 to provide access to an HRA development site. The young people moved from the Silbury Road home into the Tarnock Avenue home (which was subsequently renamed Silbury House). Housing Delivery are continuing to pursue alternate provision in-lieu of the now demolished Silbury Road Children's Home.

The homes provide short and long term care for children aged 12-17. The current provision is geographically imbalanced with 3 of the 5 homes located in the south of the city. The homes were built around 1950, they are institutional looking, some have structural issues and maintenance costs are rising.

¹ Statutory guidance on securing sufficient accommodation and access to services for looked-after children published 30th March 2010

In addition, we have two children's homes providing short breaks for disabled children (The Bush and Belbrook) and three Supported Accommodation Homes for Care Leavers (Cheltenham Road, Blenheim Road and Kingsdown). These are outside the scope of this project.

Current provision: Residential Schools

Children in care who have special educational needs and/or disabilities (SEND) may be placed in residential special schools when a Bristol maintained special school cannot meet their needs. Independent residential schools provide integrated social care, education and therapeutic placements which may be tripartite funded by social care, education and health. BCC currently has one maintained residential school, Notton House SEMH School in Wiltshire where 8 children are placed.

There are 44 independent residential schools nationwide, 7 of which are in the southwest region, and we have 12 looked after children placed in 4 schools. All places are jointly funded by education and social care, and some placements also receive a funding contribution from health.

We currently spend £5.8m a year commissioning external residential placements for children in care, including independent residential schools.

Issues with the current provision

Until about 4 years ago we had a very stable group of young people placed in our in-house children's homes who were unable to remain with their families for a variety of reasons, or who were Unaccompanied Asylum Seeker Children (UASC). In either case, these children did not have particularly complex needs. The majority of these young people were of a similar age and consequently moved on from full-time residential care at a similar time creating capacity to place a whole new cohort of children in our children's homes. At the same time the decision was taken to commission alternative placements for UASC children and not place them in our children's homes as their needs could be best met in a foster care placement.

It became apparent that the new cohort of children and young people we were seeking to place had a greater range of complex needs and different backgrounds to those placed previously. Increasingly placements are required for children and young people whose primary presenting need is Social Emotional or Mental Health (SEMH), gang involvement, child sexual exploitation, sexually harmful behaviour or learning disabilities, or a combination of these.

In addition, we were seeking to match a mix of children and young people who were either new into care, escalated from foster care, or who we wanted to bring back from an out-of-authority placement. This meant that our existing model of larger homes was no longer fit for purpose resulting in instability for children in the homes and an increase in placement moves.

The primary reason for placing in an out-of-authority placement has been an inability to match children requiring a local authority residential placement in our children's homes. In the period April 2015 to March 2018, 27 children had a care plan to place them in an out-of-authority placement due to their presenting need and/or the risks associated with a local placement, whilst 46 children had a plan to place locally. Of those 46 children; 18 were placed in out-of-authority placements in Bristol or in a neighbouring local authority, the majority of which were specialist placements for disabled children. The remaining 28 children were placed out-of-authority and some distance away because a Bristol children's home placement was not available.

This is a demand-led service which needs to be able to react to and cater for emerging requirements. For children with complex social, emotional or mental health needs it is apparent that our existing children's homes are too large, the staffing ratio too low, and they are not sufficiently specialised. Consequently, we

have had to place children out of the city in the private sector as far away as Cambridge and even Glasgow, even though their social workers have wanted them to remain in Bristol. This costs more, as well as making it more difficult for Bristol social workers to support those children and supervise their care.

An alternative to this has been to run one of our own homes mainly empty, which impacts on occupancy rates and on costs and is looked upon negatively by Ofsted.

The net effect is that we are now managing our in-house resources at under-occupancy. The occupancy rate of our children’s homes during the financial year (2017/2018) was on average 62.7%. During 2018/19, at the point of financial modelling, we had an average of 10.5 children placed in our children’s homes representing 55% occupancy. A baseline analysis based on 2017/2018 occupancy rates gives an average annualised cost per child placed in a BCC children’s home of £219k. By comparison the average annualised cost per child placed in an out-of-authority placement (for the top ten such placements) is £196k. This confirms that our existing model results in high unit costs for an in-house placement due to the matching and placement issues resulting in under occupancy of the homes.

There is therefore a case to move to a new model comprising a larger number of smaller homes to better meet the more complex needs of the children and young people we are seeking to place. This will create more flexibility, maximising placement and matching opportunities and improve occupancy rates.

Given the starting point for this project i.e. that BCC already has five children’s homes, it is recognised that any savings from this proposal will not be significant compared to a starting position of having no in-house provision because we are remodelling an existing service with a large annual budget. Furthermore, the running costs of children’s homes do not reduce proportionally based on the number of placement beds available; particularly as experience suggests the current staffing levels in our existing homes are not sufficient to manage the complex needs of the children we are seeking to place. However, the proposals should yield some benefit through a reduction in expensive out-of-authority placement costs, and the costs associated with supporting a young person in an out-of-authority placement (such as increased social work time and Independent Reviewing Officers). Value for money will also improve as a result of increased levels of occupancy.

Further benefits include better placement stability and a significantly enhanced residential experience for the children and young people we place by keeping them nearer their family home and friends and not disrupting their education. By managing their needs within smaller homes that are more like ordinary houses and fit for purpose we will be better placed to be able to achieve the assessed outcomes set for them.

18. Preferred Option Detailed Case

As part of the Outline Business Case a number of options were identified to potentially acquire the properties for the new model. Additional discovery work undertaken for the Full Business Case deemed some of these options to be non-viable and therefore not pursued. A full list of the original options are listed below:

Options contained within OBC	Reject/ Pursue	Rationale
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Options contained within OBC	Reject/ Pursue	Rationale
1. Acquire properties from existing HRA stock	Reject	This is one of the cheaper options although there could be conversion costs. There is a limited number of 4/5-bed homes available in existing housing stock, however it is not clear whether permission would be given to remove properties from HRA stock as it would reduce the available number of council homes.
2. Rent properties from HRA	Reject	Limited 4-bed properties becoming available (as per Option 1)
3. Purchase new homes on the open market	Pursue	Preferred Option A (subject of this business case)
4. Consider re-using 1 or 2 of the existing children's homes where a larger building may be required and acquire remainder of homes.	Reject	Existing homes are large 5/6 bed homes, are under-occupied and costly to run which does not tie in with the preferred and agreed new model of 2-bed homes.
5. Rent the required properties from a social housing provider or the private sector	Reject	As per OBC Option 2. Unite Housing Association have provided detail on 4-bed properties from various Housing Associations and again these are limited and there is a demand from homeless families living in expensive temporary accommodation. There are none currently vacant.
6. New Build, bought off-plan ² , possibly at a reduced rate, from potential sites on the various Housing Development Schemes 2019-2022/23	Pursue	Preferred Option B (subject of this business case)
7. Re-use existing vacant/void buildings owned by BCC.	Reject	As per OBC Option 1. A review undertaken by Property Services in March 2018 has indicated that there are currently no vacant properties – non HRA that are suitable either in terms of size or location.

The costings for this Full Business Case are based on pursuing Preferred Options A and B.

Preferred Option A: buy a 4-bed property on the open market

BCC's Property team calculated the average house price, based on the 150 x 4-bed houses that were available on the open market during September 2018 in Bristol. They included houses in North, South, East, West and Central Bristol and excluded any houses that had an extremely high value.

They concluded that there were not many 4-bedroom properties available on the market in Central Bristol (the central area includes properties from Hotwells to St Werburghs).

² Over the next 4 years there will be opportunity to buy houses on the various Direct Development Sites. Housing Delivery have said that if we were looking to buy off-plan for new Children's Homes this is the perfect time to do this. These are currently in the planning design phase and have not yet had planning applications submitted. As part of the 'Private Development schemes' we have two sites with the opportunity to buy off-plan. These houses will be ready 2019/20 and 2020.

Area	Lowest Value	Highest Value	No of Houses	Average Price
Central	£385,000	£725,000	6	£520,667
East	£240,000	£650,000	24	£380,375
North	£280,000	£785,000	36	£506,388
South	£180,000	£650,000	76	£375,868
West	£250,000	£585,000	8	£373,750

The average cost of a 4-bed property in Bristol is £431,400. The estimated costs associated with adapting a house to fit the Children’s Homes specification is contained within the project financial spreadsheet. The cost of a 5-bed property to provide a 3-bed home has been estimated to cost an additional £50k per property (house price figures were correct at September 2018).

Preferred Option B: new build/buy off-plan

Over the next 4 years the Housing Delivery team have identified opportunities to buy new-build 4-bedroom properties ‘off plan’. Some of these housing developments are available via the Direct Delivery team (BCC development on BCC land); and some from Private Development Schemes (private development on BCC owned land e.g. Persimmon).

18.1 Project scope

In Scope	Out of Scope
BCC’s in-house children’s homes provision: Re-profile 20 places spread across existing 4 and 5-bedroom homes to 20 places spread across 4 x 2-bed and 4 x 3-bed houses more evenly distributed around the city.	Short Breaks for Disabled Children provision (The Bush and Belbrook) Supported Accommodation Homes for Care Leavers (Cheltenham Road, Blenheim Road and Kingsdown) Commissioning of independent residential placements to maximise the provider and placement market Parent & Child Assessments – development of 5 specialist in-house foster carers Implementation of a new IT solution for maintaining care records within the children’s homes

Any risks/consequences associated with “Out of scope” items

The delivery of the new model of children’s homes should not be negatively impacted by the areas identified as out-of-scope.

There is an opportunity to fund the new IT solution by submitting a business case to unlock further capital funding already allocated to residential project in children’s services.

18.2 Project objectives

Our aspiration is to have an in-house residential provision which more closely replicates family life and meets the placement requirements of children and young people with complex needs which cannot be met through foster care or other family placements.

By redesigning our children’s homes and having a larger number of smaller homes – some with a specific focus on a particular primary presenting need – there will be a wider range of matching and placement options available. The new model will enable existing high cost out-of-authority placements to come back into Bristol, where previously accommodation of these children and young people with very complex needs was difficult in the larger bed homes, and also create better stability of placements and enable us to deliver ‘wrap around’ services, such as specialist health, mental health or education services or mentoring, in a better way. There is good evidence to support that stability is a factor in achieving good outcomes for children in care.³

	Specific	Measureable	Timebound
1	Fewer children and young people in care are placed in out of authority placements and few are in placements further than 20 miles from Bristol.	The aim is to have fewer out-of-authority placements	2019 to 2023
2	The occupancy rates of BCC children’s homes increases	From current level of 54% occupancy to 85%	2019 to 2023
3	The overall cost of providing residential care for children and young people is reduced	Placement Budget reduces/fewer children placed out-of-authority	2019 to 2023
4	The majority of our children in care who require residential care live in small homes in Bristol rated ‘Good’ or ‘outstanding’ by Ofsted	Ofsted bi-annual inspections of children’s home	2019 to 2023
5	Through being able to offer a wider placement choice we are better equipped to match resident young people and meet their emotional wellbeing needs.	National Indicators KPIs submitted on Sparnet 903 returns, monthly	2019 to 2023

³ Paras 4&5 Page 10 Residential Care in England Report of Sir Martin Narey’s independent review of children’s residential care

	Specific	Measureable	Timebound
6	Our children's homes are better geographically balanced throughout the city.	GIS map of new provision demonstrate geographical balance	2019 to 2023

18.3 Quality Expectations

Any establishment that can be defined as a children's home must register with Ofsted under the Care Standards Act 2000 before it can open. It is an offence to run a children's home without the appropriate registration.

Before a home can be opened and children placed, we will have to demonstrate how we meet a number of legal requirements. These include those within the Care Standards Act 2000, Care Standards Act 2000 (Registration)(England) Regulations 2010 and the Children's Homes (England) Regulations 2015. They must also take account of the 'Guide to the children's homes regulations including the quality standards' issued by the Department for Education.

In summary, children's homes must have:

- a registered provider and, where the provider is an organisation such as a company or local authority, a person known as a 'responsible individual' who represents the organisation to Ofsted
- a registered manager who has their own personal registration with Ofsted
- a statement of purpose that sets out the overall aims of the children's home and the objectives for children who live there or those provided with short breaks – the law sets out the information that the statement must contain in regulations; as found in schedule 1 of The Children's Homes (England) Regulations 2015
- a children's guide, which explains what a child can expect from the home's care, including the support each child is entitled to, how they can make a complaint and how they can access advocacy support; the guide must be in a form that is appropriate to the age, understanding and communication needs of the children
- a number of policies and procedures – these are set out in The Children's Homes (England) Regulations 2015.

Newly registered children's homes that register between 1 April and 30 September in any given year receive at least one inspection between 1 October and 31 March. Those that register between 1 October and 31 March in any given year will receive their first inspection between 1 April and 30 September of the following inspection period.

18.4 Summary Costs and Benefits

For a full overview of costs and benefits, refer to Project Financial Spreadsheet, Appendix B.3

PREFERRED OPTION

4 2-bed homes and 4 3-bed homes to provide 20 places at 80% occupancy

£'000	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Total
Total	18/19	19/20	20/21	21/22	22/23	23/24	
Total costs (gross capital)	431	1,095	1,577	1,034	0	0	4,138
Total costs of existing provision (incremental revenue)	3,792	-950	-1,156	-1,129	-556	0	0

£'000	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Total
Total	18/19	19/20	20/21	21/22	22/23	23/24	
Total costs of new provision (incremental revenue)	0	912	1,141	1,141	456	0	3,650
Total revenue costs	3,792	-38	-16	+11	-100	0	
Net savings	0	-38	-16	+11	-100	0	-142

18.5 Benefits

Financial benefits:

Description	Metric	Owner	Assumption(s)
The occupancy rates of BCC children's homes increases	unit cost of in-house residential home	James Beardall	The position of having 5 bed homes has been inherited from a previous era and, as a result, there are issues with low occupancy
The overall cost of providing residential care for children and young people is reduced	Average cost of a residential placement	James Beardall	Improving occupancy rates means that there are more children in in-house provision than previously.

Non-financial benefits:

Description	Metric	Owner	Assumption(s)
Fewer children and young people in care are placed in out of authority placements and few are in placements further than 20 miles from Bristol.	Distance placed from Bristol	James Beardall	With a better mix of homes we will be able to place more children in Bristol and not have to rely on out of authority placmenets.
The majority of our children in care who require residential care live in small homes in Bristol rated 'Good' or 'Outstanding' by Ofsted	Ofsted Reports	James Beardall	With the new mix of homes and better geographical dispersment we will improve the ratings due to better model of home from home provision.
Through being able to offer a wider placement choice we are better equipped to match resident young people and meet their emotional wellbeing needs.	National Indicator set	James Beardall	With a new mix of homes in the proposed model we will be able to ustilise the wrap around services – health, education and provide a home from home
Our children's homes are better geographically balanced throughout the city.	GIS mapping. School placements. Community Links Family	James Beardall	With 10 smaller model homes we can establish a balanced city wide dispersal of homes. The housing development sites are across the city.

18.6 Costs & Funding Sources

Funding source	Budget Holder	Cost-Code	Financial Year (or recurring)	Amount
Children's Services Capital Programme (PE06)	Samantha Flowers	P15162-1001	2018/2020	£0.800m
Children's Services Capital Programme (PE06A)	Ann James	P15292-1001	2019/2022	£3.338m

Total funding required (ref S15.3)	£4.1m
Total funding secured	£0.8m
Variance	£3.3m
Variance commentary:	
The unfunded element would be funded from £5.1m earmarked budgets in the capital programme in P15292-1001 (PE06A) which is available, pending confirmation that this final business case is acceptable.	

18.7 Key Risks and Issues

Risk	Mitigation
1. The Business Case does not stack up and the cost of the new model of smaller children's homes is prohibitive resulting in capital funding for the project not being approved.	Early discussions with Ofsted are taking place around registration of the new homes and the staffing model required. Finance have modelled the cost of both 2 and 3 bed homes. We have explored options for the delivery of some new build homes.
2. Not being able to secure the right buildings in the right part of the city	We have been working with our Property Partner to help us to identify potential options for acquiring properties by buying from the open market in agreed areas. We are exploring options for acquiring properties via land swaps with Housing Delivery and on development sites such as Hartcliffe Campus.
3. Ofsted not approving the registration of the new homes resulting in an Ofsted refusal to register the new homes and an inability to open them up for placements.	Early discussions with Ofsted have taken place and there will be a continuing dialogue as the project progresses to ensure they are happy with the new provision in terms of specification and location and the proposed staffing model.
4. Inability to provide education placements for our most complex children either placed in our new children's homes or moved back from out of authority placements resulting in their educational needs not being met and impacting on their life chances increasing the likelihood of them ending up NEET (not in employment, education or training).	An engagement workshop session was held with SEND colleagues, to address how we provide this for our most complex children.

Risk	Mitigation
5. Recruiting sufficient staff, in particular residential managers resulting in an Ofsted refusal to register the new homes and an inability to open them up for placements impacting on out of authority placement figures and increasing costs	Discussion with Team Managers around the recruitment processes have been held. The intention is for a phased implementation of the new model and closure of the existing homes which will enable staggered recruitment to ensure sufficient staffing in line with the agreed model and Ofsted requirements.

A full RAID log has been started and will be maintained as part of the project.

18.7.1 Risk Impact Analysis

The risk that would require a return to the Sponsoring Group (in this case Cabinet) would be if the cost required to complete a project exceeds the funding agreed. As properties will be purchased sequentially (as opposed to all at the same time) and knowledge on associated costs of purchase and fit-out to Ofsted standard is gained, this risk will be minimised and the decision should be taken in advance of committing to the final property of the new model unless there is certainty that the required level of funding is available.

Other risks are project risks which can be managed at the project level or escalated to the Strengthening Families programme (or nominated governance body at point of closure of the Strengthening Families Programme).

18.8 Contingency Planning

Discovery work considered all of the original seven options. The approach detailed in this Full Business Case is based on all of the facts that have been identified during this time.

In order to start this project we are now looking at buying an existing house from the open market. That will give us only 4 months remaining in this financial year to procure a 4-bedroom property on the open market. Confidence for this is currently at 50% based on timescales.

Waiting for an HRA 4-bed property could take us well into the next financial year and, as with the previous offer, there is no guarantee that the location is appropriate (last offer was rejected due to criminal intelligence report from Avon & Somerset Police). Confidence for this is at 50%

The majority of the Housing Development sites (apart from the Richeson Close site in Brenchley which has only one 4-bed house being built), will become available towards the end of 2020-2023. Confidence that all sites will be suitable and provide a 4-bed property is at 50%

Gathering evidence from our subject matter experts around availability and development of sites, there is currently a 50% confidence of an acquisition of our preferred option.

With regard to the refurbishment costs, the specification and tender process lead-in timescales to refurbish a property this financial year has a confidence level of 50%. There is currently no framework or preferred contractors in place to deliver refurbishment on a new project. This would require us to go out to small tender which presents a further risk to timescales. Alternatively, the contract is currently expected to be in place by January 2019, and the project could wait until then.

Contingency:

1. Agreements with Housing Delivery would mitigate against difficulty finding suitable properties and could reduce the capital expenditure required.
2. Future Delivery Model to be structured and discussions with Team Managers are planned around recruitment processes and input will be sought from HR as to how to best attract new staff.
3. The intention is for a phased implementation of the new model and closure of the existing homes which will enable staggered recruitment to ensure sufficient staffing in line with the agreed model and Ofsted requirements.
4. Early engagement with health and education colleagues to address availability and provision of education placements for complex children.
5. Early discussions with Ofsted have taken place around registration of the new homes and the staffing model required. The registration process for children's homes has 3 stages⁴ and Ofsted aim to complete registrations within 47 working days.
6. Early specification agreement and ability to use the Tendered Framework due in January 2019 will enable works to be carried out once private house purchase complete.

19. Delivery Approach

19.1 Implementation Approach

The intention is to implement the new model via a phased delivery approach, the reasons for this are:

- 1) We need to test the new model in terms of ability to match and place children to improve occupancy rates;
- 2) We need to transition in a staged and proportionate way due to the dependencies with other work streams in the programme which are designed to impact on demand; and
- 3) In order to provide the best support to children and young people currently in residential care – both in our homes and in out of authority placements – we would not plan to move them unless there is reason such as placement breakdown or a transitional point has been reached.

The proposal is to open one 2-bed home in the 18/19 financial year, followed by a further two 2-bed homes in the following financial year 19/20. The approach for the entire remodelling programme is laid out in Appendix B.5.

During the same time period, we would begin closing our existing homes (Silbury Road is now closed and was handed over to Housing Delivery team in summer 2018), with a further home to be closed in the financial year 19/20 and subsequent financial years (to do this we would need 4 new homes in place) until the new model is fully established. Based on the current ages of the young people placed in our homes we believe this is a realistic timeframe as they would be reaching a transition into independence. As the new model becomes established we anticipate seeing a reduction in the number of out of authority placements and consequently a reduction in the overall cost. See Phasing Illustration in Appendix A.1 for more detail.

19.2 Benefits Realisation Approach

- Financial data and the establishment data will be baselined once Cabinet approval is achieved to provide a starting point for monitoring.

⁴ During stage one an application is submitted and is accepted if it is complete. The application then moves into stage two. During stage two a workflow is allocated to either the applications team seek checks and references. Once the checks are completed, the application then moves into stage three. During stage three the inspector completes all tasks and carries out the visit and interview(s). A Regional inspection manager makes the final decision to register or refuse. From an application moving into stage three. **Page 365**

- The delivery of financial benefits will be tracked via monthly budget monitoring of cost centres where reductions in expenditure are being sought.
- There will be benefit check points scheduled into the implementation project to confirm that savings have been delivered within the planned timescales.
- The delivery of non-financial benefits will be tracked through monthly national reporting of information around stability, education , reduced anxiety, health etc.

19.3 Procurement Approach

With regard to purchasing of existing private 4-bedroom properties or buying a new-build house off plan, Property colleagues and Housing Delivery team have advised that provided there is a budget/business case approved by Cabinet with delegated authority given to the appropriate Director to acquire, then they can agree the necessary terms with sign off at the appropriate level.

Discussions with procurement leads will determine the correct procedure across both services. This will be validated by professional commentary.

19.4 Communications and Engagement Approach

Effective engagement is essential throughout the lifespan of this project. Formal and informal engagement has been ongoing during 2017, 2018 and into 2019 and includes elected members, colleagues and public/community engagement in prospective sites. A full engagement log is available at Appendix A.2.

19.5 Timeline and Key Milestones

Key Milestones	Target Date
Cabinet approval achieved to Purchase Property #1	22/01/2019
Contract exchanged and completed on Property #1	14/03/2019
Cabinet approval achieved to unlock funding to deliver new model	04/06/2019
New Home #1 opens	31/10/2019
Contract exchanged and completed on Property #2	01/11/2019
New Home #2 opens	30/04/2020
Contract exchanged and completed on Property #3	30/04/2020
New Home #3 opens	30/09/2020
Contract exchanged and completed on Property #4	30/09/2020
New Home #4 opens	28/02/2021
Contract exchanged and completed on Property #5	28/02/2021
New Home #5 opens	31/07/2021
Contract exchanged and completed on Property #6	31/07/2021
New Home #6 opens	31/12/2021
Contract exchanged and completed on Property #7	31/12/2021
New Home #7 opens	31/05 2022
Contract exchanged and completed on Property #8	31/05/2022
New Home #8 opens	31/10/2023
Benefits realisation tracking initiated	01/11/2023
Project closed	29/12/2023

20. Project governance for implementation:

Project Role	Name	Title
		Page 366

Project Role	Name	Job Title
Sponsor	Jacqui Jensen	Executive Director, People
Project Executive	Ann James	Director Children and Family Services
Project User(s)	James Beardall Samantha Flowers	Acting Head of Service, Permanency and Specialist Services Programme Manager, Strengthening Families
Project Supplier(s)	Chris Woods Emily Price Martyn Pursey	Property Partner Private Development Schemes Project Manager Housing Delivery, Development & Special Projects Manager,
Project Assurance	PMO	Change Service Business Partner
Project Manager	Jo Duncan	Change Services

Project Board meeting regularly? Yes / ~~No~~

Current governance for the project is provided by the Strengthening Families Programme Board. Consideration will need to be given as to the future governance route for the remainder of the Children's Home project as the delivery period extends beyond the the closure of the sponsoring programme.

Project Board ToR's agreed and relevant? Yes / ~~No~~

20.1 Project Tolerances & Controls

Tolerance areas	Project level tolerance	Escalation route	Control & tracking document(s)
Time	+3 months (as this is will be dictated by house availability and housing market)	Project Board Programme Delivery Group People EDM	Project Plan Highlight Report Exception Report
Cost	+20% contingency (plan is to request 20% contingency on costs due to fluctuating market and lack of contract for refurbishment and any unknowns with property purchased not contained with structural survey)	Project Board Programme Delivery Group People EDM	Project Plan Highlight Report Exception Report
Quality	Zero tolerance (in terms of the specification of the home, there is no tolerance due to Ofsted regulations and H&S requirements. Some variation in desired location and standard of fixtures and fitting may be considered if necessary for project to proceed.	Project Board Programme Delivery Group People EDM	Project Plan Highlight Report Exception Report

Tolerance areas	Project level tolerance	Escalation route	Control & tracking document(s)
Scope	Some variation will be tolerated if additional properties become available and/or the refurbishment spec is agreed/	Project Board Programme Delivery Group People EDM	Project Plan Business Case Highlight Report Exception Report
Benefits	+£70k Some variation will be tolerated as it is delivery of the whole model which will deliver benefits to the Strengthening Families Programme	Project Board Programme Delivery Group People EDM	Business Case Highlight Report Exception Report
Risk	via normal Risk management approaches.	Project Board Programme Delivery Group People EDM	RAID Log Contingency Plan Highlight Report Work package Document

20.2 Project Team Resource Requirements

Role	What they will do	Days needed	Cost per day	Total Cost	Opportunity Cost	New Cost	Funding source(s)
People Property Partner* ¹	Lead on the acquisition and development of the new homes and can coordinate with the Building Practice the refurbishment/fit out through to the opening of the new homes	est. 12 days per property	BG13/ £240	£2,880	£2880	£0	General Fund
Change Project Manager* ²	Develop and deliver the project plan, run the project team, monitor RAID log and progress reports	0.25 FTE per property (55 days)	BG13/ £240	£13,200	£13,200	£0	General Fund
Subject Matter Expert (Children's Home manager)* ³	Lead the project from the business, specifying and overseeing refurbishment, community engagement, applying for Ofsted registration, recruiting and training staff in readiness for opening	0.5 FTE, 48 mths /no. of properties	BG14	£15,045	£0	£15,045	Children's Residential Capital
Private Development Schemes Project Manager (Housing Delivery)* ⁴	Identify the sites and lead on making an agreement with the developer prior to acquisition by the People Property Partner.	est. 12 days per property x 2	BG15 £25 per hour x 89 x 2	£4,450	£4,450	£0	General Fund
Property Lawyer	Conveyancing* ⁵	est. 2 hours per week x 8 weeks	£870 or £125 ph	£2,000	£0	£2,000	Children's Residential Capital
Totals:				37,575	20,530	17,045	

*¹ Property Partner: on the basis that we will not be able to acquire 10 homes all at once then this could be delivered via business-as-usual and no extra resource will be needed. A timescale needs to be established over which period the properties are to be acquired so that we can inform Legal as there is likely to be

more pressure on them. In terms of buying properties off plan, the property partner would be happy to take this through to acquisition once sites have been identified.

*² Change Project Manager: costs based on 0.25 FTE required for the duration of a house purchase and refurbishment. The project plan estimates this to be 10 months (10 months, divide by 4 = 2.5 months = 55 working days).

*³ The Subject Matter Expert for Children’s Home will need to be a continuous resource throughout the delivery period of the project (April 2019 to October 2023) as this role is not readily available on the open market. However, this cost has been divided by the total number of properties to give a per-property cost and is consistent with resources listed in the tabled above. Cost is based on BG14 top of scale SCP41 £45,591, with on costs £60,180. Divide by 0.5 FTE = £30,090 multiplied by 4 years = £120,360 divide by 8 properties = £15,045 SME cost per property).

*⁴ Housing Delivery – Private Development Schemes Project Manager: this falls within the current work of negotiating with developers on council owned land. Cost based on BG15 hourly rate of £25 multiplied by 12 days = 89 hours multiplied by £25 = £2,225 x 2 = £4,450.

*⁵ Property Lawyer: cost updated from OBC based on experience of purchasing first property, increased from £1,635 to £2,000.

Total opportunity costs	£20,530
Total new costs	£17,045
Total resource costs (per property)	£37,575

21. Equalities Impact Assessment (EqIA) Summary of Impact and Key Mitigation

This is an outline EqIA which will be further developed throughout the project. As part of the needs analysis we will seek to fill gaps in diversity monitoring for children and young people affected by the proposal.

22. Eco-Impact Assessment Summary of Impact and Key Mitigation

The environmental impacts of this proposal arise from the intention to have a higher number of children’s homes within Bristol City Council’s estate and the consequential potential for an increased consumption of electricity and gas and creation of additional waste, there will also be waste created from the closure of existing children’s homes. The new homes will be normal residential 4/5 bedroom homes acquired from either existing council stock, purchased on the open market or as part of an arrangement with a developer. The construction of the buildings is not within the remit of the project.

The new homes will become integrated into the councils Environmental Management System and environmental impacts will be managed through this. Homes purchased may have higher energy efficiency specifications (especially if new builds) and if homes purchased are older Salix funding will be used to increase energy efficiency of the homes. The net effects of this proposal are therefore neutral. The full Eco-Impact Assessment is available at Appendix B.8.

23. Privacy-Impact Assessment Summary of Impact and Key Mitigation

It was agreed by the GDPR team that the project didn’t qualify for high risk processing. So **no PIA needed**. Mitigating actions, with regard to the existing data of vulnerable persons, (which relates to the records already kept at the homes) that will need to move from one location to another, there needs to be a secure way of tracking the transfers of files between locations. The full Privacy Impact Assessment is available at Appendix B.9.

24. Full Business Case - sign off

Name	Job Title	Date circulated
James Beardall	Head of PASS	17/04/2019
David Tully	Finance Business Partner	29/04/2019
Ann James	Director of Children & Families Services	17/04/2019

Decision making authority	Cabinet
Date seeking endorsement	04/06/2019

APPENDIX

A. Required commentary and recommended consultation

FULL BUSINESS CASE		
Recommended bodies/individuals for consultation ahead of submission to DWG:	Commentary (if any)	Date
Cabinet Lead		Click here to enter a date.
Executive Director Meeting (EDM)	EDM approved proceed to Cabinet subject to outstanding items as listed being addressed in full.	17/04/2019
Professional Views	Commentary	Date
<p>MANDATORY – and must include confirmation of funding source(s)</p> <p>Finance Business Partner</p> <p>David Tully</p>	<p><u>General commentary:</u></p> <p>This initiative is principally driven by the service view that smaller homes are better for children and young people in care than the larger, 4 and 5 bed homes that are currently used.</p> <p>The financial case is not strong. The savings target of £0.304m, included in the Strengthening Families Programme, is not fully met by the option put forward in this business case: only £0.142m of savings are expected, a shortfall of £0.162m.</p> <p>The baseline cost for 17 occupied places is £3.792m.</p> <p>This option comes out at £3.650m. So, it is £0.142m cheaper than the baseline. The future configuration of 2 and 3-bed homes expects to provided 20 places at 80% occupancy (ie 16 places). This is more than the current 19 places at 55% occupancy (ie 10.5). So, the baseline and the options each consider how 16 places are currently provided (between in-house provision and out-of-authority places) and how they would be provided with the end-state option.</p> <p>Current occupancy levels are 55%, which is low and makes the current in-house provision expensive (£0.259m per occupied place), compared to external (the average cost for the top ten most expensive is £0.196m). The level in the outline business case was 63%, so this lower occupancy has contributed to an increase in the baseline cost. A less generous assessment would have set the</p>	29/04/2019

FULL BUSINESS CASE**Recommended bodies/individuals for consultation ahead of submission to DWG:****Commentary (if any)****Date**

baseline occupancy higher than 55%.

The financial illustration, moreover, is heavily dependent on occupancy levels achieving a target of 80%. The service believes that the smaller homes make compatibility of house-mates easier. It is not clear whether the availability of suitable residential care candidates will occur at a regularity which will optimise that level of occupancy. It is open to the service to actively manage the facilities and sell spare places to neighbouring authorities.

A 5% shortfall in meeting the 80% target would cost an extra £0.2m and would remove the headline saving from the project.

I have worked on the basis of operating costs of £440k for a 2 bed home (with one manager between 2 homes) and £472k for a 3 bed home (with one manager per home). These costs could only be changed if the service took a different view on the resourcing ratios needed for these new homes.

The capital costs of £4.138m have increased since the outline business case. This is because a more detailed assessment of the market position and the likely costs of bringing properties into use as children's homes have been undertaken. The capital costs have been taken at mid-way between the open market and off-plan options of £527k. 3-bed homes are estimated to cost £50k more than this figure. Acquiring homes and disposing of existing ones would happen over a four year period.

There is £0.8m in the capital available in the capital programme. The balance of £3.338m will be funded from the earmarked £5m budget in the capital programme for children's social care (PE06A), which was created pending a satisfactory business case.

While there will be capital receipts, either through the disposal of assets on the

FULL BUSINESS CASE		
Recommended bodies/individuals for consultation ahead of submission to DWG:	Commentary (if any)	Date
	<p>open market or through appropriation of assets by the Housing Revenue Account, these have not been included in this business case. Any financial gains from such transactions would be retained corporately to support the General Fund capital programme.</p> <p>Again, the financial case for this is not strong, indeed it is fragile. Nonetheless, that does not change the fact that this is an initiative that is expected to have wider service benefits and the only way of demonstrating that is to proceed. Once the first few homes become operational, the service benefits and the operational expectations can be tested. The nature of these changes is such that the programme could be stopped at a future point if the service benefits are not apparent.</p> <p><u>Confirmation of funding source(s):</u> Current revenue costs are greater than the forecast cost, subject to the caveats on risks outlined here.</p> <p>The additional £3.3m capital required to undertake the full programme (beyond the £0.8m already agreed) has been earmarked in the current capital programme.</p>	
<p>MANDATORY FOR ALL FULL BUSINESS CASES WITH A RESOURCE REQUEST PMO Operations Manager Lee Ford</p>		23/10/2018
<p>HR Business Partner Lorna Laing</p>	<p>There could potentially be significant HR implications for staff currently employed within the current Residential Homes we have. There could be different ways of working, different shifts for more continuity, new skills to learn for a new approach. Once we are further on in the project we will be able to undertake a specific piece of work to assess the impact on staff and then apply any policies or procedures as needed. There could be development opportunities as a result of the changes, training needs will also be met. A full Managing Change will be undertaken if appropriate in consultation with employees and their</p>	03/05/2019

FULL BUSINESS CASE		
Recommended bodies/individuals for consultation ahead of submission to DWG:	Commentary (if any)	Date
	representatives.	
Change Services View		Click here to enter a date.
IT View Ian Gale	There is no specific reference to IT provision in the business case, although I understand that anticipated costs are included in the fit-out costs. Any such requirement will need to be scheduled into the IT Services work programme at the appropriate time.	09/05/2019
Enterprise / Solution Architecture View David Morton	N/A	23/10/2018
Property View Chris Woods	<p>Property has been involved in the process to date and support the preferred options A and B as the best way of acquiring the accommodation required for the new children's homes.</p> <p>Acquiring properties from the market will of course be subject to availability of suitable properties in the right area and within budget. Account will need to be taken of costs of repairs, refurbishment (if required) and costs of any adaptations in assessing whether a property is suitable. This is less of an issue with buying a plot from a new build scheme as adaptations can be considered at the design stage.</p> <p>There are risks with both options in terms of timescale of delivery i.e. developments might be delayed for various reasons and buying from the market would be subject to availability, unforeseen legal issues, break in a forward chain of house sales.</p>	09/05/2019
Legal View Andrew Jones Head of Conveyancing Team liaise with Legal professional	<p>The Council's power to acquire property by agreement and at market value falls within the Local Government Act 1972 for the purpose of any of its functions or for the benefit, improvement or development of the area.</p> <p>Provided the budget is in place and has received the correct level of authorisation there are no restrictions (legislative or otherwise) preventing the Council acquiring property on the open market at market value.</p>	07/05/2019
Commissioning & Procurement View Dermott McCann Gareth Spencer	<p>There will be further although undefined savings if more children are kept in the area, since we will be able to buy less support services and social workers will spend less time on visits.</p> <p>We are likely to have more effective</p>	08/05/2019

FULL BUSINESS CASE		
Recommended bodies/individuals for consultation ahead of submission to DWG:	Commentary (if any)	Date
	<p>transitions into adult life by keeping some of our more complex children in the area, enabling local services to be better coordinated.</p> <p>In the Equality Impact Assessment they highlight the overrepresentation of disabled children in our care population. Going forward, we need to consider how this will inform our planning for the development of some homes since some (although not all) of these children will need adaptations to buildings that would be best incorporated at the design stage. This will also have implications for staff recruitment.</p> <p>19.4 Child Engagement</p> <p>Would young people be people be actively engaged in the planning and design of the new homes. Given our wish to move away, from institutionalised homes, they could give some valuable input into their design and would help them use their skills and knowledge to contribute to the change process.</p> <p>There are so many variables but with so many options about accommodation we should be able to deliver.</p> <p>Regarding the number of homes this should be informed by continuing to analyse our children in care population, if Strengthening Families is successful in reducing our child in care population particularly as we develop edge of care services for teenagers we may need a different number of homes, the advantage of this approach is we can be flexible as we develop the service.</p>	
<p>Information Security View Bernadette Keen</p>	<p>The key information security risks associated with this project will be around paper records, and physical assets (such as filing cabinets and laptops, printers).</p> <p>Facilities management should have a procedure to ensure a secure vacation of any property. This will include a detailed final search and checklist, with building plans to ensure all rooms and potential stores are thoroughly checked.</p> <p>Any printers or laptops no longer required must be returned to ICT for re-use or safe disposal.</p> <p>As part of the relocation process, secure transfer and storage arrangements must</p>	22/11/2018

FULL BUSINESS CASE		
Recommended bodies/individuals for consultation ahead of submission to DWG:	Commentary (if any)	Date
	be identified in good time. I am happy to advise if needed as the project progresses. As the technology used will continue to be in alignment with corporate standards, this should not pose any further risks.	
Other consulted parties (as required)	Commentary	Date
		Click here to enter a date.
		Click here to enter a date.

B. Mandatory Project Documents

Document Name (& links to templates)	Stage required	Document Exists? (Yes/No)	Document Owner	Hyperlink to document
EQIA Relevance Check	Mandate	Yes	James Beardall	Appendix B.1
Privacy Impact Assessment Relevance check For guidance and support in completing the PIAR contact Information Management	Mandate	Yes	James Beardall	Appendix B.2
Project Financial Spreadsheet (costs and benefits/ sources of funding/ benefits contracts)	OBC & FBC	Yes	Jo Duncan	Appendix B.3
Options Appraisal	OBC	Yes	Samantha Flowers	Appendix B.4
Project Plan	OBC & FBC	Yes	Jo Duncan	Appendix B.5
RAID Log	OBC & FBC	Yes	Jo Duncan	Appendix B.6
EQIA	OBC & FBC	Yes	Jo Duncan	Appendix B.7
EcoIA	OBC & FBC	Yes	Jo Duncan	Appendix B.8
Info: General Data Protection Regulation Privacy Impact Assessment template	OBC & FBC	Yes	Jo Duncan	Appendix B.9
Programme Board ToR	FBC	Yes	Samantha Flowers	
Solution Design (No template – this should be unique in content/ structure/ detail for each project)	FBC	N/A		

C. Timeline of approvals and any associated conditions

#	Meeting	Date	Action / Decision / Condition	Date for completion (If applicable)	Owner
Page 376					

1					
2					
3					

Financial modelling for transition costs

PREFERRED OPTION 4 2-bed homes and 4 3-bed homes to provide 20 places at 80% occupancy	2018/19			2019/20			2020/21			2021/22			2022/23			2023/24		
	No of homes (fte)	No of children (fte)	Cost in the year £'000	No of homes (fte)	No of children (fte)	Cost in the year £'000	No of homes (fte)	No of children (fte)	Cost in the year £'000	No of homes (fte)	No of children (fte)	Cost in the year £'000	No of homes (fte)	No of children (fte)	Cost in the year £'000	No of homes (fte)	No of children (fte)	Cost in the year £'000
New provision:																		
NB places at 80% occupancy and costs per home of £0.456m	0.0	0.00	0	2.0	3.60	912	4.5	8.80	2,053	7.0	14.00	3,193	8.0	16.00	3,650	8.0	16.00	3,650
Existing provision :																		
NB places at 55% occupancy and costs per home of £0.676m	4.0	10.45	2,704	3.0	8.25	2,028	2.0	5.50	1,352	1.0	2.61	676	0.0	0.00	0	0.0	0.00	0
Out-of-Authority placements:																		
NB to compare like-with-like, this is the balancing amount of OOA to compare against 16 future places.		5.55	1,088		4.15	813		1.70	333		-0.61	-120		0.00	0		0.00	0
Totals	16.00	3,792	16.00	3,754	16.00	3,738	16.00	3,738	16.00	3,749	16.00	3,650	16.00	3,650	16.00	3,650		
Baseline costs	16.00	3,792	16.00	3,792	16.00	3,792	16.00	3,792	16.00	3,792	16.00	3,792	16.00	3,792	16.00	3,792		
Savings / Additional costs, compared to baseline		0		-38		-54		-43		-143		-143		-143		-143		
Plus gross capital costs		431		1,095		1,577		1,034		1,034		0		0		0		

Work Theme (click on drop down menu)	Business Lead	Project Lead	Author/Presenter/Facilitator	When	WHO you are engaging/consulting (be specific)	WHAT you are engaging/consulting on
Re-profiling Children's Homes	James Beardall	Jo Duncan	Katja Allsop, Children's home manager	08/04/2019	Local community - neighbour to the first new children's home.	Informal and positive conversation after being approached by neighbour with questions/concerns about the new children's home. Key questions were around when refurbishment/building works would take place and age of children. Standard comms is now being written and will be cascaded to all regular BCC visitors to the property so comms is aligned if further queries from local community come up.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	03/04/2019	Local activists in the area of the first new children's home Mo Lewis and Chris Faulkner Gibson	Email sent out by Jo Duncan with an update on the first new children's home.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	03/04/2019	Cllr Khan	Phone call conversation about arranging a visit to the first new children's home.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Bishopston Voice	06/03/2019	Audience of Bishopston Voice	Positive article in Bishopston Voice about BCC changing stock of children's homes.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	28/03/2019	Cllr Sultan Khan	Encouraging and positive telephone call with Cllr Khan, who is still involved in the Children's Home project and with helping to move the Community engagement forward. He is now an Independent Cllr and still the Ward Cllr for Eastville area. Cllr Khan would like to visit the home and help with the initial discussions once we have set them up.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	13/03/2019	Cllr Helen Godwin Cllr Sultan Khan	Email regarding arrangements for the new Children's Home and subsequent visit.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	04/03/2019	Cllr Sultan Khan	First introductory telephone conversation re: community engagement for the first new Children's Home. Follow on from earlier discussions with Cllr Threfall about starting some low key community engagement with suggested contacts who can provide local knowledge and advice and whom we can start discussions around proposal.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	01/03/2019	Head of Children's Services Nottingham Council	Telephone conversation to understand Nottingham Council Children's Home model.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	05/02/2019	Ann James, James Beardall, Anne Sheridan, Sam Flowers, David Tully	Kick off workshop now that purchase of 1st house has been approved at cabinet to plan development of property.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan/ Samantha Flowers	10/12/2018	Cllr Mhairi Threfall and Cllr Helen Godwin	Briefing the councillor about potential children's residential home being bought in constituency area. Getting advice on consultation prior to submitting paper on decision pathway.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan/ Samantha Flowers	01/12/2018	Ofsted	Informal conversation with Ofsted about new children's home purchase. Feedback was very positive. Next step will be to register the home with Ofsted once the purchase has gone through.
Re-profiling Children's Homes	James Beardall	Jo Duncan	Ann James/ Samantha Flowers	19/11/2018	Joint Cabinet Member briefing	Presenting Full Business Case for Reprofiling Children's Homes for endorsement
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	09/10/2018	Placements Service Managers	Requirements mapping for Children's Homes FBC
Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	03/09/2018	Placements Service Managers	Requirements mapping for Children's Homes FBC

Re-profiling Children's Homes	James Beardall	Jo Duncan	Jo Duncan	14/08/2018	Chris Woods, Martyn Pursey (Property); Bridget Atkins (Commissioning); Katja Allsop, Jo Mills, Hester Schofield (Children's Placement Services); Mary Taylor, Louise Arbery (SEN Inclusion); David Tully (Finance)	<p>Workshop to map the following items :</p> <ul style="list-style-type: none"> • Critical requirements/specification – allowing property to ascertain the size, geographical location • SEN – how we will work with young people in the homes with the view towards educational needs etc • Timescales for the 2 x homes
Re-profiling Children's Homes	James Beardall	Rachel Abba	Rachel Abba/ Ann James/ James Beardall	02/05/2018	DWG	Consideration of OBC for Children's Homes
Re-profiling Children's Homes	James Beardall	Rachel Abba	Rachel Abba/ Ann James/ James Beardall	30/04/2018	Councillor Helen Godwin	Briefing Councillor Helen Godwin following endorsement of OBC at ACE EDM prior to DWG corporate approval.
Re-profiling Children's Homes	James Beardall	Rachel Abba	James Beardall/ Rachel Abba	30/04/2018	Councillor Helen Godwin	The Outline Business Case and proposals to close our existing 4/5 bed children's homes and open a larger number of smaller 2/3 bed homes
Re-profiling Children's Homes	James Beardall	Rachel Abba	James Beardall/ Rachel Abba	25/04/2018	ACE EDM	The Outline Business Case and proposals to close our existing 4/5 bed children's homes and open a larger number of smaller 2/3 bed homes
Re-profiling Children's Homes	James Beardall	Rachel Abba	James Beardall/Rachel Abba	19/04/2018	Children's Management Team	The Outline Business Case and proposals to close our existing 4/5 bed children's homes and open a larger number of smaller 2/3 bed homes
Re-profiling Children's Homes	James Beardall	Rachel Abba	James Beardall	07/02/2018	Local OFSTED Inspector	Follow up call to 30/1/18 meeting ref plans for our children's homes
Re-profiling Children's Homes	James Beardall	Rachel Abba	Jacqui Jensen/ Ann James	30/01/2018	Shirley Bailey - Senior HMI OFSTED	Outlining plans for our LA children's homes

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	Reprofiling our children's homes
Please outline the proposal.	To close the 5 existing BCC run children's homes and open a larger number of smaller 2/3 bedded homes to create greater flexibility and placement matching opportunities and better value for money from our homes.
What savings will this proposal achieve?	Not yet determined, the primary driver for the project is improved outcomes for children and young people in residential care
Name of Lead Officer	James Beardall

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 demographics of children requiring a placement in a children's home means they are likely to fall within one or more of the protected characteristic groups. The project is designed to create positive impacts by enabling more children and young people to be placed locally in BCC run children's homes, remain in local schools and improve future outcomes. If children are placed locally it also creates enhanced opportunities for them to remain in contact with their family and kinship groups.
Please outline where there may be significant negative impacts, and for whom.
The proposals being developed will not result in any significant negative impacts on service users with protected characteristics as the project is focussed on improving outcomes. However, if any residents close to the identified location for the new children's homes have any protected characteristics there is the potential for them to be impacted negatively by having a children's home close to where they live.

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.
It is likely that there are employees with protected characteristics among the workforce who staff our children's homes. The proposals are intended to create better working

conditions by an increased the staffing ratio in our children's homes and will create more jobs in this sector.

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

In terms of negative impacts the closure of our existing children's homes and re-location to new sites will result in a change of location for where staff work.

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.

Yes – the proposals are designed to improve access to a local residential placement in a BCC maintained children's home and the project is committed to maintaining quality services, improving outcomes and ensuring that children get the best start in life. However, we know a high number of children and young people who would be impacted have a disability, so there may be risk of indirect discrimination if the reshaping of children's homes does not take full account of their needs.

Service Director sign-off and date:



Ann James, Service Director, Care and Support, Children and Families

Equalities Officer sign-off and date:



Duncan Fleming 09/05/2019

Mandate Information Governance Relevance Check



This tool will identify the Information Governance (IG) impacts of a new change proposal.

What is the proposal?	
Name of proposal.	Reprofiling our children's homes
Please outline the proposal.	To close the 5 existing BCC run children's homes and open a larger number of smaller 2/3 bedded homes to create greater flexibility and placement matching opportunities and better value for money from our homes.
Who will answer any queries regarding the responses provided on this form?	Rachel Abba Project Manager

Does the change/project involve processing personally identifiable or special category information?
Please outline what Personal or Special Category data will be processed (see definitions below)?
No

Will the change/project involve other organisations? Is this likely to involve exchanging information with them?
Please outline which type of organisations e.g. internal BCC departments, voluntary sector, NHS etc. might receive our data and information as part of this project or to support the changes it proposes.
No

Is the change/project likely to provide/create or require new information? Or information analysis to support performance management, planning or decision making?
Please outline any new data or information the project/change will create.
No, the project will rely on data and performance indicators we already collect to monitor impact and benefits

Will the change/project produce any publishable Open Data? (non-personal and non-commercially sensitive data)
Please see http://intranet.bcc.lan/ccm/content/articles/transformation/information-management-prog/information-we-publish.en and detail what data might be 'Open' below
No

Is the change/project likely to change the acquisition, processing, storage or disposal of information?
Please outline the changes the project is likely to make (see definitions below)?
Yes, the project has the potential to change the storage and disposal of information as records of the children placed in our BCC run children's homes will need to be move to the location of the new homes as we vacate the existing properties.

Have you considered what security measures need to be in place?

Please outline the security testing which will be needed e.g. the ability to audit third party suppliers and their systems, penetration testing.

Not relevant to this project

Definitions

Acquisition, processing, storage or disposal	'Acquisition' includes the collecting, buying, generating and obtaining from other bodies; 'Processing' includes the disclosing, viewing, amending, transmission, and combining; 'Storage' including archiving (in any format including paper), hosting, cloud storage; and 'Disposal' includes the retention, deletion, destroying or not disposing of information.
Personal Data	any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person
Special Categories	Personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation.
Penetration testing	The practice of testing a computer system, network or Web application to find vulnerabilities that an attacker could exploit

Project Name:	Re-profiling Children's Homes		Project ID:	18ST123.2	Document status:	<input type="checkbox"/> Confidential	<input checked="" type="checkbox"/> For circulation	<input type="checkbox"/> Draft
Prog Manager:	Samantha Flowers		Version & Date:	29/04/2019	Business Case stage:	<input checked="" type="checkbox"/> Full business case	<input checked="" type="checkbox"/> Final business case	

Line No.	Assump ID	% Conf.	Cost / Saving description	Cost Centre & Account Code	£'000	£'000	£'000	£'000	£'000	£'000	£'000
					0	1	2	3	4	5	Row total
					Yr 2018/19	Yr 2019/20	Yr 2020/21	Yr 2021/22	Yr 2021/22	Yr 2022/23	
1.0			Procurement of new properties and making them suitable and project managing the acquisitions and disposals	Capital	431	1,095	1,577	1,034	0	0	4,138
1.1			Total new capital costs		431	1,095	1,577	1,034	0	0	4,138
											0
2.1			Costs of existing homes for 10.45fte children (unadjusted)	Homes	2,704	912	1,141	1,141	456	(0)	6,354
2.2			Cost of existing out-of-authority places for 5.55fte children (unadjusted)	Placement budget	1,088						1,088
2.3			Reducing costs on existing homes as they are closed once new homes are available	Homes	0	(676)	(676)	(676)	(676)	0	(2,704)
2.4			Reducing costs as fewer out-of-authority placements are needed as a consequence of the higher occupancy levels for the new homes.	Placement budget	0	(274)	(480)	(453)	120	0	(1,088)
2.5			Total on-going revenue costs / savings		3,792	(38)	(16)	11	(100)	(0)	3,650
NET Total (net savings less total expenditure)					4,223	1,057	1,561	1,046	(100)	(0)	7,787
NET CAPITAL (Gross)					431	1,095	1,577	1,034	0	0	4,138
NET REVENUE (Incremental / annual)					3,792	(38)	(16)	11	(100)	(0)	3,650

Project Business Case - Sources of Funding

Project Name:	Re-profiling Children's Homes	Project ID:	18ST123.2	Document status: <input type="checkbox"/> For completion <input type="checkbox"/> Done
Programme Manager:	Samantha Flowers	Version & Date:	29/04/2019	Business Case stage:

Cost / Saving description	Yr 2018/19 £'000	Yr 2019/20 £'000	Yr 2020/21 £'000	Yr 2021/22 £'000	Yr 2021/22 £'000	Yr 2022/23 £'000	TOTAL	Budget (if known)	Budget holder	Comments
Total funding required (revenue)	3,792	(38)	(16)	11	(100)	(0)	3,650			
Total funding required (capital)	431	1,095	1,577	1,034	0	0	4,138			
General Fund Revenue	3,792	(38)	(16)	11	(100)		3,650	Children's homes and placements revenue budgets	James Beardall	This shows a modest £142k estimated reduction in costs over 5 years.
Housing Revenue Account (In-kind replacement of 3 properties surrendered to HRA)		542	542	542			1,626			Agreement with Housing that the 3 properties released to them will be replaced with 2 3-bed homes, including all development costs to bring into use. Equivalent to £1.626m if in cash.
Capital Programme not yet agreed		184	1,035	492			1,711			Gross capital required of £2.254m
Capital Programme agreed	431	369					800			So far, the only capital secured is £0.8m in the capital programme for 2018/19 for capital receipts.

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Total funding identified:	4,223	1,057	1,561	1,045	(100)	0
Funding gap:	0	0	(0)	0	0	(0)

Project Business Case - Financial Spreadsheet

Lead Director:	Ann James, Service Director: Children and Families	Version:	1	Date created:	29/11/2018			
Programme Manager	Samantha Flowers	Status:	2. Full Business Case	Date reviewed:	29/04/2019			
Savings summary								
Saving Description:	Reprofiled Children's Homes	Savings ID:	FP31					
Saving's Detailed Description:		Saving Category:						
Move from four in-house 4 / 5 bed Children's Homes to 4 2-bed homes and 4 3-bed homes.		Portfolio Holder:	Councillor Helen Godwin					
		Service area impacted:	Children and Family Services					
		Max gross saving and assoc. financial Yr:	High/ Low level:					
			% Confidence:	30%				
Saving realisation profile								
Saving description:	Account Code & Cost Centre	17/18 (Net) £'000s	18/19 (Net) £'000s	19/20 (Net) £'000s	20/21 (Net) £'000s	21/22 (Net) £'000s	22/23 (Net) £'000s	23/24 (Net) £'000s
Reduced costs of out-of-authority residential placements				(38)	(16)	11	(100)	0
TOTAL ANNUAL SAVING:		0.0	0.0	(38.5)	(15.7)	11.3	(99.7)	0.0
TOTAL RECURRING SAVING:		0.0	0.0	(38.5)	(54.1)	(42.9)	(142.6)	(142.6)
Actual / forecast status:		R / RA / AG / G	R / RA / AG / G	R / RA / AG / G	R / RA / AG / G	R / RA / AG / G	R / RA / AG / G	R / RA / AG / G
Calculation of saving:			Current state:					
Calculation:			Baseline and how/when this has been obtained:					
This is based on using a baseline of £3.792m for providing 16 occupied places currently. Occupancy levels in existing provision is 55% and occupancy levels in new provision is 80% (because compatability of house-mates is easier with smaller properties). So, the balance will move from 10.45fte in-house / 5.55fte out-of-authority to 20 in-house places at 80% occupancy. Service managers have calculated the appropriate staffing ratios needed for the new provision. Provision will change on a phased basis, but by the end point, it is forecast to cost £3.650m, a saving for £0.142m.								
Assumptions:			Associated project products:					
ID:	Assumption description:	ID:	Project product description:					
A_1	55% occupancy for current provision		8 new children's homes to replace existing 4.					
A_2	80% occupancy for new provision (c77% occupancy for 3-bed and 85% occupancy for 2-beds.							
A_2	Staffing ratios prove to be in line with those outlined by the service							
A_3	Out-of-authority placements cost £196k (the current average for the top ten OOA placements)							
A_4	Mid-point between open market / housing options cost for acquiring and opening new homes are reasonable estimates for capital costs and 3 bed homes will cost £50k more than 2 bed homes.							
Dependencies:			Associated key risks:					
ID:	Dependencies description:	ID:	Risk description and countermeasure:					
	Securing the balance of the capital is necessary.		Occupancy levels are critical for running in-house children's homes. Smaller homes provide more likelihood of compatability of house-mates. Offering empty places to neighbouring authorities could help cover costs and keep occupancy rates at target levels.					
			Market costs of large houses for adaptation to children's homes will vary.					
Key Milestones:								
ID:	Milestone Description	Deadline (date)	Delivered (Y/N)	Comments				
Contract sign-off								
I confirm that this savings initiative meets the criteria for 'secured and delivered':								
- the savings have been extracted from the relevant budgets								
- there is no risk of the status of delivery changing								
- there is no risk that this may later cause a budget pressure/overspend								
- all milestones in the project plan have been delivered								
Budget Owner sign-off:	[Name]	Date:						
Finance Business Partner sign-off:	[Name]	Date:						
HR Business Partner sign-off:	[Name]	Date:						
Lead Director sign-off:	[Name]	Date:						
DLT / Strategic Director sign-off:	[Name]	Date:						

Value for money analysis of children's home proposals

INPUTS	Scenario 1
Current homes places	19
Current home occupancy	55.0%
Future homes places	20
Future homes occupancy 2 bed	85.0%
Future homes occupancy 3 bed	80.0%

Baseline

4 5-bed homes at an occupancy rate of 55% (10.5 fte children)	Scenario 1	Source
Capacity	19	
Occupancy	55.0%	Note this is lower than planned for new provision
FTE children	10.5	
Cost of 4 homes	£2,704,463	Actual spend on homes in 2017/18 (Tarnock closed)
Unit cost	£258,800	
Out of Authority Placements (5.6 fte children)		
FTE children	5.6	
Unit cost of out-of-authority placement	£196,000	Based on a higher level of need. Average cost of top ten out of authority residential placements is £196k (Sept 18 snapshot)
Total cost if at average	£1,087,800	
Baseline cost for 20 @ 80%	£3,792,263	i
Baseline unit cost for 20 @ 80%	£237,016	
Impact of 5% change in occupancy	£186,200	

Preferred Option

Option B: Provide 4 x 2-bed and 4 x 3-bed homes at 80% occupancy and close existing	Scenario 1	Source
Total places available	20	
Children accommodated in new homes (20 @ 80%)	16	
Running costs of 8 new homes (for 16 fte)	£3,649,648	Taken from draft business case
Residual places from baseline at occupancy rate	0.0	
Unit cost of out-of-authority placement	£196,000	
Total cost if at average	£0	
Total operational cost of option	£3,649,648	
Unit cost of 16 fte children affected	£228,103	
Impact of 5% change in occupancy	196,000	in total, up or down

Outline figures for delivery of options

INCREMENTAL	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	
PREFERRED OPTION							
4 2-bed homes and 4 3-bed homes to provide 20 places at 80% occupancy							
	Cost in the year £'000	Total On-going £'000					
Total new costs (Capital)	431	664	481	-542	-1,034	0	0
Total new costs (Revenue)	0	912	1,141	1,141	456	0	3,650
Total opp costs	0	0	0	0	0	0	0
Total ongoing costs*	3,792	0	0	0	0	0	3,792
Gross savings	0	-950	-1,156	-1,129	-556	0	-3,792
Net savings*	3,792	-950	-1,156	-1,129	-556	0	0

Financial modelling for transition costs

CUMULATIVE PREFERRED OPTION 4 2-bed homes and 4 3-bed homes to provide 20 places at 80% occupancy	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	
Cost in the year £'000	Cost in the year £'000	Cost in the year £'000	Cost in the year £'000	Cost in the year £'000	Cost in the year £'000	Cost in the year £'000	Cumulative spend
New provision:							
NB places at 80% occupancy and costs per home of £0.456m	0	912	2,053	3,193	3,650	3,650	13,458
Existing provision :							
NB places at 55% occupancy and costs per home of £0.676m	2,704	2,028	1,352	676	0	0	6,760
Out-of-Authority placements:							
NB to compare like-with-like, this is the balancing amount of OOA to compare against 16 future places.	1,088	813	333	-120	0	0	2,114
Totals	3,792	3,754	3,738	3,749	3,650	3,650	22,332
Baseline costs	3,792	3,792	3,792	3,792	3,792	3,792	22,754
Savings / Additional costs, compared to baseline	0	-38	-54	-43	-143	-143	-421
Plus capital costs	431	1,095	1,577	1,034	0	0	4,138

Section 2: Outline Business Case

10. Options Appraisal Summary

OPTION EVALUATION MATRIX	Pros (Will achieve outcomes/objectives?)				Risk Level (Cons)	Costs (one off) (£'000s)	Savings (net of any ongoing costs) (£'000s)					Confidence Level in Savings Delivery	Equalities Impact
	Fewer children and young people in care are placed in out of authority placements	Increased occupancy rates in our children's homes up to 85%	The cost of providing residential care for children and young people has reduced	Fewer children in care will be in large residential children's homes			17/18	18/19	19/20	20/21	21/22		
1. Do Nothing	N	N	N	N	M	0	0	0	0	0	0	N/A – no savings would be delivered	neutral
2. 10 x 2 bed homes	Y	Y	Y	Y	M	4,500	9	-36	122	120	58	75%	Positive/Neutral
3. 4 x 3 bed homes and 4 x 2 bed homes	Y	Y	Y	Y	M	3,800	9	-249	-81	-50	-103	75%	Positive/Neutral
4. No in-house BCC children's homes	N	N	N	N	H	tbc	tbc	tbc	tbc	tbc	tbc	25%	Neutral/negative

11. Preferred Option(s) further detail:

Preferred Option A:						
Close existing provision and open 10 x 2 bed homes						
Would the delivery of this option, in terms of both how and what, be different from the savings description approved as part of the Budget?						
No – this project is part of the Strengthening Families Programme and the description in the budget did not specifically set out how the transformational changes and savings would be delivered.						
New Costs profile (£'000s)						
Yr 0 18/19	Yr 1 19/20	Yr 2 20/21	Yr 3 21/22	Yr 4 22/23	Yr 5 23/24	Total
450	450	450	-450	0	-900	0
*If houses are purchased at open market value						
Net savings profile (net of any ongoing costs)						
Yr 0 18/19	Yr 1 19/20	Yr 2 20/21	Yr 3 21/22	Yr 4 22/23	Yr 5 23/24	Total annual recurring saving
9	-36	122	120	58	66	339
Ongoing costs (disbenefits)						
Yr 0 18/19	Yr 1 19/20	Yr 2 20/21	Yr 3 21/22	Yr 4 22/23	Yr 5 23/24	
203	812	1,015	812	406	4,060	
Confidence Level in savings delivery and explanation						
30% the reason that the confidence level is set low is that there are still a number of unknowns in relation to the project, particularly around the acquisition options for the properties required and the true cost, given the high cost of housing in Bristol, and likely competition for homes with 4/5 bedrooms. In addition, OFSTED approval of our proposals and staffing model has not yet been received. There are also some additional costs which have not yet been factored into the financial modelling around annual OFSTED registration fees and independent reviews. Until a delivery plan has been finalised it will not be clear what savings, if any, can be made on staffing budgets during the transitional phase.						
Risk profile of option						
Medium						
<ul style="list-style-type: none"> - Cost ongoing revenue costs of the new model are more expensive than existing - Identifying suitable properties and method of acquisition - Recruiting sufficient staff 						

Preferred Option B:						
Close existing provision and open 4 x 2 bed homes and 4 x 3 bed homes						
Would the delivery of this option, in terms of both how and what, be different from the savings description approved as part of the Budget?						
No – this project is part of the Strengthening Families Programme and the description in the budget did not specifically set out how the transformational changes and savings would be delivered.						
New Costs profile (£'000s)						
Yr 0 18/19	Yr 1 19/20	Yr 2 20/21	Yr 3 21/22	Yr 4 22/23	Yr 5 c24	Total
450	450	550	-450	-1000	0	0
*If houses are purchased at open market value						
Net savings Profile (net of any ongoing costs)						
Yr 0 18/19	Yr 1 19/20	Yr 2 20/21	Yr 3 21/22	Yr 4 22/23	Yr 5 23/24	Total annual recurring saving
9	-249	-81	-50	-103	0	-474
Ongoing costs (disbenefits)						
Yr 0 18/19	Yr 1 19/20	Yr 2 20/21	Yr 3 21/22	Yr 4 22/23	Yr 5 23/24	
203	812	812	609	0	3,248	
Confidence Level in savings delivery and explanation						
30% the reason that the confidence level is set low is that there are still a number of unknowns in relation to the project, particularly around the acquisition options for the properties required and the true cost, given the high cost of housing in Bristol, and likely competition for homes with 4/5 bedrooms. In addition, OFSTED approval of our proposals and staffing model has not yet been received. There are also some additional costs which have not yet been factored into the financial modelling around annual OFSTED registration fees and independent reviews. Until a delivery plan has been finalised it will not be clear what savings, if any, can be made on staffing budgets during the transitional phase.						
Risk profile of option						
Medium						
<ul style="list-style-type: none"> - Cost ongoing revenue costs of the new model are more expensive than existing - Identifying suitable properties and method of acquisition - Recruiting sufficient staff 						

<ul style="list-style-type: none"> - Inability to obtain education placements for our most complex children either placed in our new children's homes or moved back from out of authority placements - Obtaining OFSTED registration for the new homes
<p>Contingency options to mitigate risks and raise confidence level</p>
<ul style="list-style-type: none"> - Agreements with Housing Delivery would mitigate against difficulty finding suitable properties and could reduce the capital expenditure required. - Discussions with Team Managers are planned around recruitment processes and input will be sought from HR as to how best attract new staff. - The intention is for a phased implementation of the new model and closure of the existing homes which will enable staggered recruitment to ensure sufficient staffing in line with the agreed model and OFSTED requirements. - Early engagement with health and education colleagues to address availability and provision of education placements for complex children - Early discussions with OFSTED are taking place around registration of the new homes and the staffing model required
<p>Residual shortfall against committed savings:</p>
<p>It is anticipated that the savings committed in the budget may not be achieved within the profile set under the Strengthening Families programme in which case the residual shortfall will need to be met from elsewhere in the programme.</p>
<p>Key milestones for the Full Business Case stage (include key stakeholder engagement activity)</p>
<p>w/c 7/5/18 FBC kick-off meeting w/c 7/5/18 Revisit needs analysis w/c 14/5/18 Meet with children's homes operational staff w/c 21/5/18 Meet with key health and education stakeholders wks/c 4&11/6/18 Design delivery project plan 29/6/18 FBC template and appendices completed 3/7/18 Submit FBC for professional views 10/7/18 Submit FBC to DWG 18/7/18 DWG approval of FBC</p>
<p>Lessons Learned from similar projects/initiatives</p>
<p><u>Closure of 199 Newland Road:</u> clear guidance required around the process for decommissioning a council building, who holds what responsibility, and if the building is going to be empty following closure that the service will be responsible for security costs until its future purpose is determined.</p> <p><u>Previous closure of a children's home</u> – again being clear on the decommissioning process and early identification of other uses for the property to minimise ongoing costs to the service is important. Other lessons included early HR involvement around any potential management of change aspects, the requirement to bring staff on the journey and enabling them to be part of the redesign. Also, a requirement for strong project management links both into and back out of the business.</p>
<p>Summary of Equalities impact</p>

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<p>Summary of Equalities impact</p>

At this outline stage no potentially adverse impacts have been identified to those with protected characteristics - however we know a high number of children and young people who will be impacted have a disability, so there may be risk of indirect discrimination if the reprofiling our children's homes does not take full account of their needs.

Summary of Eco impact

There are significant impacts of this proposal arising from the intention to have a larger number of children's homes within Bristol City Council's estate and the consequential potential for an increased consumption of electricity and gas and creation of additional waste, there will also be waste created from the closure of existing children's homes. The new homes will be normal residential 4/5 bedroom homes acquired from either existing council stock, purchased on the open market or as part of an arrangement with a developer. The construction of the buildings is not within the remit of the project.

The new homes will become integrated into the council's Environmental Management System and environmental impacts will be managed through this.

Summary of Information Security impact

The Data Information team have confirmed that this project does not qualify for high risk processing and a full PIA is not required. The only aspect of this project which may involve personal data relating to vulnerable persons is the potential transfer of the physical files and records for young people currently placed in our children's homes to a new location.

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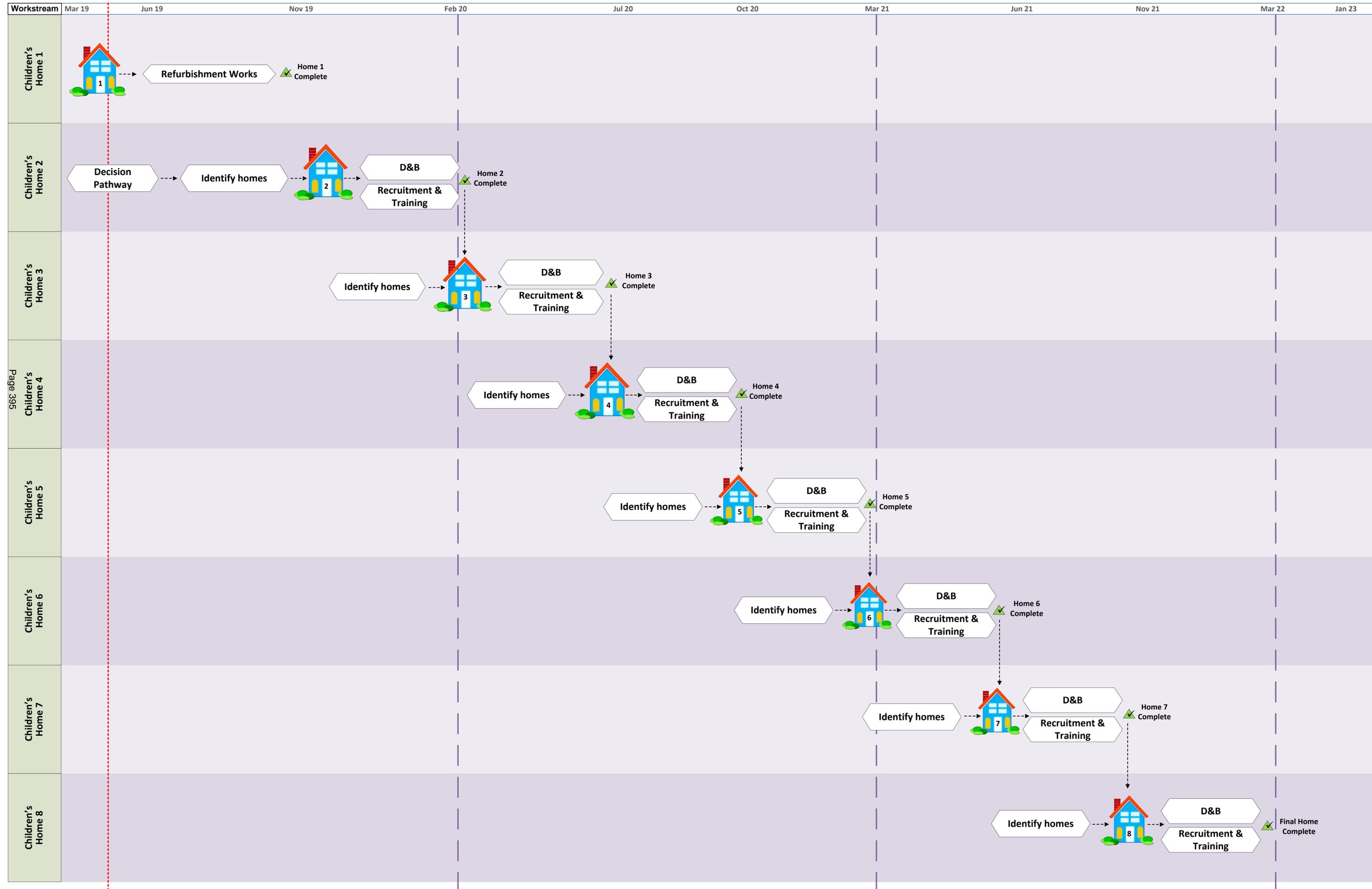
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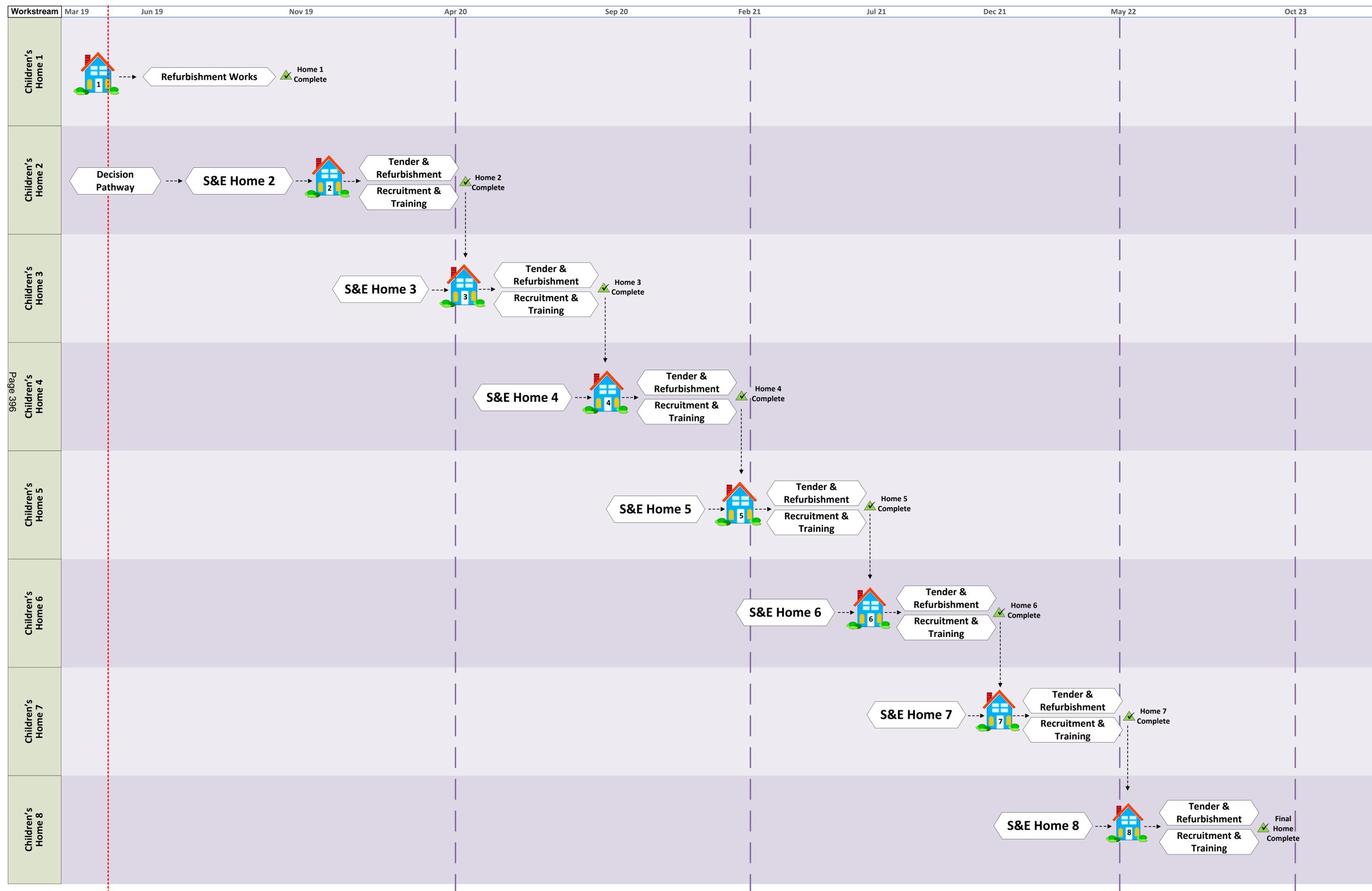
Activity Flag Home Complete Link or Dependency Slippage Risk ID Assumption ID

Timeline for delivery based on assumptions gleaned from Housing time scales of 8 months from search to design and build completion



Activity Flag Home Complete Link or Dependency Slippage Risk ID Assumption ID

Timeline for delivery based on assumptions gleaned from home 1 purchase of 10 months from search for property to building works completion



Strategic Lead/ Delivery Lead	Area	Children's Home Milestones	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10
James Beardall Jo Duncan		TASK										
	Governance	Set up project team & agree ToR										
	Finance	Capital funding released & cost code assigned										
	Property	Property identified										
	Property	Offer made										
	Property	Offer accepted										
	Legal	Contracts Exchanged & Completed										
	Property	Obtain keys										
	Property	Property Insurance Completed										
	Communications	Communications produced and community engagement commences										
	Security	Security measures for empty property installed										
	Building Practice	Site visit completed & building requirements agreed										
	Building Practice	Guide costs confirmed and work schedule signed off										
	Legal	Legal costs submitted										
	Property	Property change of Use approved										
	Procurement	Tender process agreed										
	Procurement	3 quotes process - ProContract completed										
	IT	Requirements for IT/Telecomms agreed										
	Procurement	Contractor awarded										
	Recruitment/Training	Recruitment commences										
Building Practice	Refurbishment commences											
IT	IT/Telecoms Installation commences											
Recruitment/Training	Staff recruited											
Recruitment/Training	Staff trained											
Building Practice	Refurbishment completed											
Building Practice	Defects and snagging period											
Building Practice	Building works signed off											
Communications	Local community engagement completed											
Completion	Children's Home #1 open											

** Timeline for delivery based on assumptions gleaned from home 1 purchase of 10 months from search for property to building work completion

Key:

Governance
Finance
Property
Legal
Communications
Security/IT
Building Practice
Recruitment & Training
Procurement
Completion

RISK LOG

PROJECT NAME:	Reprofiling Children's Homes	PROJECT ID	18ST123.2
PROJECT MANAGER:	Jo Duncan	DATE LAST AMENDED	15/04/2019

KEY: Category - 'E/F' Economic/Financial; 'E' Environmental; 'L' Legal/Regulatory; 'O/M' Organisational/management; 'P' Political; 'S/C' Strategic/Commercial; 'T/O' Technical/Operational

Likelihood - 6 = Almost certain, 5 = Likely, 4 = Probable, 3 = Possible, 2 = Unlikely, 1 = Almost impossible **Impact:** 4 = Catastrophic, 3 = Critical, 2 = Significant, 1 = Marginal

Priority Score - Purple (18-24: Catastrophic Risk); Red (10-16: Critical Risk); Amber (9-8: Significant Risk); Green (1-6: Marginal Risk)

ID	Type	Category	Description	Likelihood	Impact	Priority	Date identified	Countermeasure or response	Residual			Owner / Actioner	Notes	Date of last update	Status	Related RAID ID
									Likelihood	Impact	Priority					
R001	Risk	T/O	Recruiting sufficient staff, in particular residential managers resulting in an OFSTED refusal to register the new homes and an inability to open them up for placements impacting on out of authority placement figures and increasing costs	3	3	9	07/02/18	Discussions with Team Managers are planned around the recruitment processes and input will be sought from HR. The intention is for a phased implementation of the new model and closure of the existing homes which will enable staggered recruitment to ensure sufficient staffing in line with the agreed model and OFSTED requirements.	3	3	9	Valerie Williams	the initial set up costs to prepare for the new home 3 months ahead of go live, will be funded by the Strengthening Families Programme. Adverts are ready to go out and ES and JD complete.	10/04/19	Open	
R002	Risk	L	OFSTED not approving the registration of the new homes resulting in an inability to deliver the project	2	4	8	07/02/18	Early discussions with OFSTED have taken place and there will be a continuing dialogue as the project progresses to ensure they are happy with the new provision in terms of specification and location and the proposed staffing model	1	4	4	James Beardall	Discussions with Ofsted inspectors in December 2018 proved positive with regard to the identified property. They were delighted with the look of the house. The registration process will begin once the Cabinet approval releases the £800K and the house has been purchased.	18/01/19	open	
R003	Risk	P	Local communities and residents near to the proposed location of the new children's homes being unhappy and raising objections resulting in a delay in a home being able to open whilst these are addressed.	4	2	8	10/02/18	Early engagement with local councillors and consultation with residents as soon as a site for a new home is agreed and proceedable.	3	1	3	Jo Duncan/Sam Flowers	Early conversations with the local councillor Cllr Threfall were very positive about the local community and will link us into the local activists. Cllr Khan engaged in Community comms and contact has been made with 2 local residents. Meeting on 19th April and FAQ script is now prepared for all.	11/04/19	open	
R004	Risk	T/O	Inability to provide education placements for our most complex children either placed in our new children's homes or moved back from out of authority placements resulting in their educational needs not being met and impacting on their life chances increasing the likelihood of them ending up NEET.	4	3	12	20/02/18	An engagement workshop is planned with health and education colleagues to address how we provide this for our most complex children particularly colleagues in the SEND and inclusion teams	2	3	6	Ann James / James Beardall	Workshop session ran on 14th August SEN were in attendance and added comment some conflicting opinions on education within the home. Ann James updated on discussion and took an action to discuss with head of education SEN.	10/10/18	open	
R005	Risk	O/M	The Council losing confidence in our ability to provide an in-house provision and therefore deciding to commission out the provision of all residential care placements	3	4	12	09/02/18	Ensuring confidence in the project through sign off via the governance process. OFSTED engagement and sign up to the proposed new model improved outcomes from future OFSTED	2	4	8	Ann James	Discussions with Ofsted inspectors in December 2018 proved positive with regard to the identified property. They were delighted with the look of the house. The	18/01/19	Open	
R007	Risk	S/C	The Business Case does not stack up and the cost of the new model of smaller children's homes is prohibitive resulting in capital funding for the project not being approved.	3	3	9	09/02/18	Early discussions with OFSTED are taking place around registration of the new homes and the staffing model required. Finance are modelling the cost of both 2 and 3 bed homes. We are exploring options for the delivery of some new homes as a swap with land which Housing Delivery are seeking as it adjoins development sites they are looking to build on. We have put in an application for grant funding from NHS England which would provide the capital to acquire one of the new homes.	2	3	6	James Beardall	Grant funding not successful. FBC for further funds for full allocation of Children's Homes needed being written March 2019.	22/03/19	Open	
R010	Opportunity	S/C	Housing Delivery are keen to acquire some or all of the land on which the Bishopthorpe Road children's home is situated as it would improve the potential for development of an adjoining site on which it is planned to build new council homes. This could provide an opportunity for new home fitting the smaller model to be provided in return this would go towards alleviating the risk of not being able to identify and acquire suitable properties for the project			0	19/03/18	Early discussions with Housing Delivery to reach an agreement on the provision to be provided in return for vacating Bishopthorpe Road to ensure that our requirements are agreed before the planning stage is reached.			0	James Beardall	Valerie Williams is working with Housing on exit strategy from Bishopthorpe road before December 2019.	11/04/19	Open	

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Bristol City Council Equality Impact Assessment Form

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



Name of proposal	Reprofiling our children's homes
Directorate and Service Area	Care & Safeguarding Children in Care and Care Leavers
Name of Lead Officer	James Beardall

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 pilot the new model of Children's homes as per the preferred Option laid out in the Full Business Case - to buy a 4 bedroom property from the open market this financial year for £800,000. During the next financial year we will look to buy a new build from one of our Housing Development schemes. This would be off plan and all adaptations would be part of the planning design phase.

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?

Bristol City Council currently has four children's homes providing 24 beds for children in 4 and 5 bed homes. Our homes provide short and long term care to children aged 12-17 and are spread throughout the city.

Disability: 63% of children recently accommodated in our in-house children's homes have had involvement with CAMHS, 71% have SEMH (Social Emotional and Mental Health difficulties), 51% have an EHCP Plan or Statement of special educational needs, and 9% have a learning disability.

Sex: The ratio of placements is 54% male and 46% female in Bristol City Council children's homes, which is similar to national averages.

Race:¹

White British 67%

White Other 7%

Mixed / multiple ethnic groups 7%

Asian / Asian British 0%

Black / African / Caribbean / Black British 13%

Other Ethnic Group 7%

White British and Dual Heritage children are over-represented among Bristol children in care. There are small but increasing numbers of Muslim children in care in Bristol as well as children with Eastern European and Somali heritage. However there are currently no Asian/Asian British children in children's homes.

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

We do not have accurate information about religion/belief or sexual orientation for this cohort of looked after children.

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

For purchasing an initial pilot residential property we will engage with affected looked after children, with staff, and with local residents to ensure we are meeting the needs of all stakeholders.

For future acquisitions we will undertake a comprehensive needs analysis which will lead to specific proposals. We will consult on these proposals with looked after children and other key stakeholders to learn more about the potential impacts for protected groups and maximise positive outcomes.

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?

¹ ONS Categories – Source – Liquid Logic Oct 2017 Bristol City Council Children's Homes

To meet the immediate needs of looked after children we plan to purchase a residential property which will be adapted rather than a new build, which would take longer to acquire due to phased housing development sites coming on plan for sale in 2020 in the first instance. There is a risk that this property may not fully meet the needs of disabled children, however we will make reasonable adjustments based on individual health plans, as far as is possible and in line with access standards.

For the initial pilot property and future housing developments, we have not identified any specific potentially adverse impacts on people with protected characteristics - however we know a high number of children and young people impacted have a disability, so there may be risk of indirect discrimination if the re-profiling of our children's homes does not take full account of their needs.

Although decisions about future individual placements are outside the scope of this project we will need give due regard to the diversity of looked after children (i.e. their age, sex, sexual orientation, gender reassignment, race, religion or belief), when taking decisions regarding the location and specifications for future developments sites.

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

We will consider the additional needs and protected characteristics in detail when undertaking the first phase of purchasing a pilot property, and further analysis and consultation to implement the project at subsequent stages.

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

Yes – there is the opportunity to improve outcomes for looked after children with protected characteristics by tailoring the proposals to their needs.

3.4 Can they be maximised? If so, how?

We will consider options for specialist homes as part of the proposals.

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 identified an over-representation of disability in particular in the cohort of looked after children in BCC children's homes

4.2 What actions have been identified going forward?

- This EqIA will be updated throughout the life of the implementation project.
- We will undertake a full consultation on any new build proposals.
- As part of the needs analysis for subsequent phases of this project we will seek to fill gaps in diversity monitoring for children and young people affected by the proposal.

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

- Increased occupancy for looked after children in BCC children's homes
- Individual CYP outcomes will be monitored for each looked after child
- Feedback from looked after children, staff and other stakeholders

Director Sign-Off:	Equalities Officer Sign Off:
Date:	 Duncan Fleming 20/11/2018

Eco Impact Checklist

Title of report: Full Business Case for Re-profiling of Children's Homes Project				
Report author: Jo Duncan				
Anticipated date of key decision: 4 June 2019 Cabinet Meeting				
Summary of proposals: To add to our initial property purchase of a smaller 2 bed children's home and open a further number of smaller 2/3 bedded homes to create greater flexibility and placement matching opportunities and better value for money from our homes				
Key changes since Outline Business Case approval:				
<ol style="list-style-type: none"> 1. Cabinet approval was achieved on 22 January 2019 to purchase a 4-bed property (providing a 2-bed home) located in the Stapleton area. Refurbishment of the property is underway and with anticipated opening in summer 2019. 2. The 10 x 2-bed model outlined in the OBC has been replaced with a 4 x 2-bed and 4 x 3-bed model in order to contain running costs within existing budget allocations 				
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	The fact that we are intending to have a higher number of children's homes in our estate will result in an increase in consumption of electricity and gas.	Where existing buildings are acquired for use as a children's home in the new model the scope for mitigation will be limited. However, there are potential opportunities being explored to acquire new homes being built on council land for the purpose, and where this is the case there will be increased scope to influence the use of efficient buildings and renewable energy. The new homes will become integrated into the council's Environmental Management System, environmental impacts can be managed through this via audits, site visits and training,
		+ive	The children's homes	New children's homes

			that are currently open are not filled to full capacity so some energy is wasted heating empty rooms	will be operated to full capacity so there will be no energy wasted heating empty rooms. New boiler systems will be installed potentially using the Salix scheme from our Energy Services grant funding. This could also be used for the window replacement as this will add to the efficiency of energy being maintained in the rooms and not lost through in effective windows.
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	Yes	-ive	The fact that we are intending to have a higher number of children's homes in our estate will result in an increase in consumption of electricity and gas	See mitigation measures as mentioned above.
Production, recycling or disposal of waste	Yes	-ive	<p>The fact that we are intending to have a higher number of children's homes, means there is potential for more recyclable waste to be produced.</p> <p>Waste will be produced from closing existing children's homes.</p>	<p>These will be residential properties and all waste will be disposed of/recycled in the usual way for household waste. Ensure that recycling is encouraged in homes and that staff are aware of what can be recycled. Provide training if possible. Ensure bins are clearly signed to make it clear where waste should be going.</p> <p>Apply the waste hierarchy to any items, ensuring to re-use where possible. Where waste needs to be disposed of ensure legally compliant contractors are used (Bristol Waste are the</p>

				Bristol City Council contractor) and that waste paperwork is obtained.
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>				
<p>The environmental impacts of this proposal arise from the intention to have a higher number of children's homes within Bristol City Council's estate and the consequential potential for an increased consumption of electricity and gas and creation of additional waste, there will also be waste created from the closure of existing children's homes. The new homes will be normal residential 4/5 bedroom homes acquired from either existing council stock, purchased on the open market or as part of an arrangement with a developer. The construction of the buildings is not within the remit of the project. The new homes will become integrated into the councils Environmental Management System and environmental impacts will be managed through this. Homes purchased may have higher energy efficiency specifications (Especially if new builds) and if homes purchased are older Salix funding will be used to increase energy efficiency of the homes. The net effects of this proposal are neutral.</p>				
Checklist completed by:				
	Name:	Jo Duncan		
	Dept.:	Change Services		
	Extension:			
	Date:	30/04/19		
	Verified by Environmental Performance Team	Nicola Hares		

Outline Business Case Options/PIA Screening Questions



The answers on this form will allow the Information Governance Advisors (IGAs) to determine whether you will need to complete a Privacy Impact Assessment (PIA) for your change proposal or project.

What is the proposal?	
Name of proposal.	Reprofiling our children's homes
Please outline the proposal.	To close the 5 existing BCC run children's homes and open a larger number of smaller 2/3 bedded homes to create greater flexibility and placement matching opportunities and better value for money from our homes.
Who will answer any queries regarding the responses provided on this form?	Rachel Abba Project Manager

Provide details of any previous Privacy Impact Assessment or other form of personal data compliance assessment done on this initiative. If this is a change to an existing system, a PIA may have been undertaken during the project implementation

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The GDPR (General Data Protection Regulation) sets out the situations where the organisation will need to carry out a data protection impact assessment where the processing is considered high risk.

1. For each outline change solution/project option you come up with, please answer the following with Yes/No:

Does your change solution/project option involve processing of any Personal or Special Category data?	Option 1 Yes or No	Option 2 Yes or No	Option... cont. Yes or No
Yes, it includes the processing of special category data (as defined in Article 9) which might reveal the racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership; data concerning health or sex life and sexual orientation; genetic data or biometric data. Or includes the passwords for access to IT systems and websites, credit card details, passport numbers or any other ID number. Or includes a set of personal data that when combined could become highly sensitive such as an email and password combination or that which is indirectly sensitive, such as nationality, country of origin and postcode.	No	No	
Yes, it does include the processing Personal data processed on a large scale (think about the volume of data subjects processed, the number of processing operations or the geographical area to identify 'large scale').	No	No	

Yes, it does include datasets that have been matched or combined – e.g. originating from two or more data processing operations performed for different purposes and /or by different data controllers in a way that would exceed the reasonable expectations of the data subject.	No	No	
Yes, it does include data concerning vulnerable data subjects: i.e. because of the increased power imbalance between the data subject and data controller, meaning the individual may be unable to consent to, or oppose, the processing of his or her data.	Yes	Yes	

2. For each outline change solution/project option you come up with, please answer the following with Yes/No:

Does the change solution/project option undertake any of the following?	Option 1 Yes or No	Option 2 Yes or No	Option... cont. Yes or No
Yes, it involves evaluation or scoring, including profiling and predicting especially from aspects concerning the data subjects performance at work, economic situation, health, personal preferences or interests, reliability or behaviour, location or movements.	No	No	
Yes, it involves automated-decision making with legal or similar significant effect upon a natural person ('data subject').	No	No	
Yes, it involves systematic monitoring: processing used to observe, monitor or control data subjects, including data collected through "a systematic monitoring of a publicly accessible area" – e.g. CCTV.	No	No	
Yes, it involves innovative use or applying technological or organisational (e.g. policies, changes to business processes, procedures etc.) solutions, such as combining the use of finger print and face recognition for improved physical access control.	No	No	
Yes, it involves data transfer across borders outside the EU, consider the possibility of further transfers or the likelihood of transfers based on exemption from or relaxation of a laws for specific situations set out in the GDPR, (this advice will change after we exit from the EU as we will be outside the EU ourselves then).	No	No	
Yes, the processing in itself "prevents data subjects from exercising a right or using a service or contract".	No	No	

Further Information

Tbc – Data Protection by Design Guidance

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 04 June 2018

TITLE	Council Tax Reduction Scheme 2020/21		
Ward(s)	All		
Author: Matthew Kendall	Job title: Benefits Technical Manager		
Cabinet lead: Craig Cheney	Executive Director lead: Denise Murray		
Proposal origin: Other			
Decision maker: Cabinet Decision forum: Cabinet			
Purpose of Report: To request a steer on planning for the Council Tax Reduction (CTR) scheme for 2020/21 in light of Universal Credit (UC) Full Service roll out for working age households and the future cost of the scheme.			
<p>Evidence Base: The CTR scheme is a discount scheme that supports 35,400 households who are on a low income with the cost of their council tax. Pensioners are protected from any changes under a nationally prescribed scheme. 23,800 working age households get the same levels of support as they did before the Council Tax Benefit (CTB) scheme was abolished in 2013.</p> <p>The scheme was consulted on for 2019/20 and the decision was made to retain the current scheme and levels of support. Options to deliver savings and simplify the scheme were not adopted. The scheme is estimated to cost £41.4million in 2019/20 and £42.2million in 2020/21. The 2019/20 figure is taken from the council tax base and the 2020/21 figure assumes a 1.5% increase in cost and a 1.99% increase in council tax. This is the assumption made in the Medium Term Financial Plan. All costs and savings mentioned include those of the precepting authorities unless otherwise stated (Bristol City Council will be responsible for 86% of the cost in 2019/20).</p> <p>Modelled costs of the scheme are £43.2million if a static caseload and an 8.1% increase in council tax between 2017/18 and 2019/20. If the caseload increases or decreases by 5% then the cost of the scheme in 2020/21 is estimated to be £45.4million and £41.0million respectively. The current caseload trend is downward and in keeping with the lower of these estimates. However, any shock to the local economy could have an impact on the cost of the CTR scheme in future.</p> <p>UC Full Service was fully introduced across Bristol from September 2018, with 4,000 working age households receiving CTR and UC at the end of March 2019 and this will increase throughout 2020/21.</p> <p>This will present the following issues for the council in administering CTR scheme in its current form:-</p> <ul style="list-style-type: none"> • Housing Benefit (HB) is no longer assessed alongside the CTR scheme resulting in loss of administrative saving • Funding from the Department for Work and Pensions (DWP) reduces as a result of Bristol City Council no longer administering HB for most working age households • Small fluctuations in UC awards and household earnings result in monthly recalculation of the CTR award, resulting in reassessment, billing and problems with instalments <p>Three options for the CTR scheme in 2020/21 were presented to Councillor Cheney at CMb on the 1st April 2019, as below, with option 3 being discounted:-</p>			

1. Maintain the existing CTR scheme – Maintain levels of funding for the scheme so that households get the same levels of entitlement as they would under the current scheme. This would not require as much resource or planning and there would be no requirement to consult. Maintaining the scheme can be agreed by cabinet. It would not address the issues raised above.
2. Simplify the existing CTR scheme – Maintain levels of funding for the scheme so that households get the same (or very similar) levels of entitlement as they would under the current scheme but simplify the assessment process and align the scheme more closely with UC. This could be delivered in two ways;
 - a) a UC income banded for all UC CTR claimants or
 - b) a scheme that ignores ‘small’ changes in CTR entitlement as a result of small changes in income, e.g. +/- £2 per week CTR change (equivalent to £10 income changes per week).

In addition to either of these proposals there could be further simplification on rules regarding non-dependant deductions and capital assessment. This should deliver a small saving on administration in 2020/21 but there would be a cost in developing the scheme. This will require resource for planning and consultation, with any changes agreed by Full Council.
3. Simplify the existing CTR scheme and introduce a minimum payment for working age households (cost saving option) – Simplify the assessment process and align the scheme more closely with UC and introduce a minimum payment for working age households. This will require resource for planning and consultation, with any changes agreed by Full Council. Initial gross reductions in the cost of the scheme are currently estimated at between £4.4million and £5.9million for a 15% and 20% minimum payment respectively (based on 2018/19 modelling).

Cabinet Member / Officer Recommendations:

That Cabinet agree the Council Tax Reduction Scheme for 2020/21 remains unchanged.

Corporate Strategy alignment: TBC

City Benefits:

Maintaining current levels of support will protect households on a low income who are already impacted by various freezes and changes to benefit and tax credits.

Consultation Details: None at this stage.

Background Documents:

Cabinet approval for 2019/20 CTR scheme (agenda item 8)

<https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MId=3100>

Bristol’s 2019/20 CTR scheme

<https://www.bristol.gov.uk/documents/20182/34692/Council+Tax+Reduction+Scheme+2018+to+2019/5cb77adf-f90b-fc7a-4711-81432b9dc5e5>

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: This report is requesting a steer regarding both:-

- Planning for the Council Tax Reduction scheme 2020/21 with the potential to generate contributions to the Council's General Fund and;
- Options for revised approaches to administering the Council Tax Reduction scheme in response to increasing assessment costs and reducing DWP funding for the cost of scheme administration.

Indicative contributions and costs are as modelled January 2019 and are provided to support a steer, note these reflect the overall cost of the scheme to all preceptors not just BCC.

It should be noted that the level of discretionary element of the Council Tax Reduction Scheme is likely to be taken into account by MHCLG in determining the funding formula for local authorities. This means that a reduction in the Council tax base won't be compensated for.

Finance Business Partner: Michael Pilcher, 11th April 2019.

2. Legal Advice: *Section 13A of the Local Government Finance Act 1992 'the Act' substituted by section 10 of the Local Government Finance Act 2012 requires each billing authority to make a scheme specifying the reductions which are to apply to amounts of council tax payable by persons, or classes of person, whom the authority considers are in financial need. Schedule 1A, paras 5(5) and 3(1), of the Act impose a duty on the authority to publish a draft scheme and consult "such other persons as it considers are likely to have an interest in the operation of the scheme." The consultation should invite views on all possible alternatives though having a preferred option does not render the consultation unlawful. The Council is under a duty to approve any revisions to the scheme by 11th March before the beginning of the financial year in which the revision is to have effect.*

Guidance issued in 2014 by the Department for Communities and Local Government provides that in developing local council tax reduction schemes, vulnerable groups should be protected. The guidance does not prescribe the protection that local authorities should provide for vulnerable groups, but refers to the authority's statutory duties including the public sector equality duty (The Equality Act 2010) and the duty to prevent homelessness (The Housing Act 1996).

Legal Team Leader: Sarah Sharland Team leader Litigation Regulatory and Community Team Legal Services 3rd April 2019.

3. Implications on IT: *There are no identifiable IT implications in this proposal*

IT Team Leader: Ian Gale, 4th April 2019

4. HR Advice: *No HR implications evident*

HR Partner: James Brereton (People & Culture Manager), 3rd April 2019

EDM Sign-off	Mike Jackson	10/04/2019
Cabinet Member sign-off	CLlr Craig Cheney	21/04/2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	03/05/2019

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 <i>There are no environmental impacts relating to this report and a full Eco IA is not required', Nicola Hares, 4th April 2019</i>	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

Appendix A – Further essential background and detail on the proposal

Background

The CTR scheme provides support to over 35,400 households who are on a low income with the cost of their council tax. Pensioners are protected from any changes under a nationally prescribed scheme. 23,800 working age households get the same levels of support as they did before the Council Tax Benefit (CTB) scheme was abolished in 2013.

The decision to maintain the current scheme for 2019/20 was made by Cabinet on 5th February 2019. Bristol's scheme is based on CTB and utilises the same assessment process as Housing Benefit (HB). This currently provides for some administrative savings, as the council receives funding from the DWP to administer HB. A much smaller amount of funding is received from the Ministry of Housing, Communities and Local Government to administer CTR.

Funding to administer HB has reduced in recent years and is likely to reduce further as a result of the further roll out of UC through 2019/20. In addition, funding to administer CTR has reduced:-

Funding source ¹	2017/18 (£millions)	2018/19 (£millions)	2019/20 (£millions)
Department for Work and Pensions (DWP) (HB)	1.928	1.719	1.558
Ministry of Housing, Communities and Local Government (CTR)	0.657	0.627	0.599
Total	2.585	2.346	2.157

Overall there is a decrease in central government funding of just under 9% 2019/20 with the Benefits Service costing a net £900k p.a in 2019/20 to the General Fund. It is unclear as to whether funding from the Ministry of Housing, Communities and Local Government will increase to mitigate the loss of administrative savings and funding in administering HB alongside CTR.

The council has historically made up shortfalls between central government funding and the cost of administration but this will present a cost pressure going forward.

The degree to which this will impact the council in terms of administration will depend upon the level of automation between the notifications sent by the DWP and the council's assessment system for CTR. The way in which the current CTR treats UC in the assessment process will affect households who are in work and have a fluctuating monthly income.

Options for 2020/21

There are three core options that the council can consider for its scheme in 2020/21. These are detailed below, along with the advantages and disadvantages to adopting each option.

1. Maintain the existing CTR scheme

Maintain levels of funding for the scheme so that households get the same levels of entitlement as they would under the current scheme. This would not require as much resource for planning and consultation, and can be agreed by cabinet. It would not address the issues around alignment with UC, fluctuations in income and administrative pressures.

¹ Central government funding taken from GOV website and 2019/20 CTR funding is provisional

The advantages and disadvantages to this option are shown below:-

Advantages	Disadvantages
<ul style="list-style-type: none"> • Maintains current levels of support to households on a low income • Reduces risk of increased debt to the council for households on a low income • Aligns to protecting vulnerable households • Will not impact disproportionately on any equality group • Reduces cost of recovery for relatively small sums from households on a low income • No requirement to consult on changes to the scheme • No changes to assessment system required • Citizens, stakeholders and officers already familiar with assessment process 	<ul style="list-style-type: none"> • No significant savings delivered from making changes to the scheme • Increases in council tax and/or caseload will make the scheme more costly • Maintaining current level of support may impact funding available for other services • Will result in unnecessary recalculation of CTR awards following slight changes in income • Adverse impact of recalculation of CTR on recovery of council tax • Maintains current, complex means test • Further changes to national benefits are not taken into account in the CTR scheme

2. Simplify the existing CTR scheme

Maintain levels of funding for the scheme so that households get the same (or very similar) levels of entitlement as they would under the current scheme but simplify the assessment process and align the scheme more closely with UC. This could deliver a small saving on administration in 2020/21. This will require resource for planning and consultation, with any changes agreed by Full Council. Changes to the assessment system would also be required, and the extent of these would depend upon the scheme that was developed.

It is impossible to determine with any certainty, at present, any significant administrative savings, as each case would still need to be reassessed in the same way, apart from some potential reduction in evidence gathering requirements. In addition any change to entitlement and subsequent rebilling is mainly automated. However as not all changes in UC income would result in a change to CTR entitlement, there would be small savings attributed to a reduction in re-billing and linked enquiries, especially due to changes in bills and the instalments within which any net Council Tax is due. This cannot currently be quantified.

Simplification can be delivered in two main ways:-

1. The introduction of a scheme based on household income only and the use of bands to determine the level of discount that would apply to the applicant's council tax liability, or
2. Ignoring small changes in CTR entitlement as a result of small changes in income, e.g. +/- £2 per week CTR change (equivalent to £10 income changes per week).

Both would allow for minor fluctuation in household incomes.

The below is an example of how the scheme could be simplified via a banded scheme (based on Newcastle's scheme for 2019/20):-

Discount awarded	Passported benefits in payment ²	Weekly income			
		Single	Couple	Family with 1 child	Family with 2+ children
100%	N/A	Under XX	Under XX	Under XX	Under XX
90%	N/A	XX to XX	XX to XX	XX to XX	XX to XX
60%	N/A	XX to XX	XX to XX	XX to XX	XX to XX
35%	N/A	XX to XX	XX to XX	XX to XX	XX to XX

An example of how a deminimus change scheme could work at £10 per week (or £2 CTR) as below :-

A working age couple on Council Tax Reduction have an applicable amount of £114.85 per week. Their UC income and earnings are £134.85 per week (£20 over the applicable amount). As a result they are awarded £21.34 CTR per week (at a rate of 20% of excess minus the Council Tax liability of £25.34 per week)

Their UC income and earnings then changes to £139.85 per week (a £5 increase or would have been a change of £1 per week CTR)

This is below the deminimus change threshold of £10 or £2 CTR per week – so no actual change in CTR entitlement takes place.

The income bands or deminimus changes levels would need to be established through modelling of the CTR caseload to ensure that the discount awarded is as close as possible to the current CTR award for households. Any changes to the scheme could be introduced gradually for households moving onto UC only.

This could be also incorporated with other administrative savings changes, such as simplifying non dependant deductions and capital assessment rules.

The advantages and disadvantages to this option are shown below:-

Advantages	Disadvantages
<ul style="list-style-type: none"> • Maintains current levels of support to households on a low income • Reduces cost of administration of the scheme • Has potential to remove most evidence/information requirements from the process (especially once UC has been fully implemented) • Reduces unnecessary recalculation of CTR award following slight changes in income • Reduces risk of increased debt to the council for households on a low income • Aligns to protecting vulnerable households • Will not impact disproportionately on any 	<ul style="list-style-type: none"> • No significant savings delivered from making changes to the scheme • Increases in council tax and/or caseload will make the scheme more costly • Requirement to consult on changes to the scheme • Resource for changes to assessment system required • Resource to develop and implement scheme required • Maintaining current level of support may impact funding available for other services • Will result in slight drop in CTR where

² Income Support, Income Based Jobseeker's Allowance or Income Related Employment and Support Allowance would attract a 100% discount in the same way as under the current scheme

<p>equality group</p> <ul style="list-style-type: none"> • Reduces cost of recovery for relatively small sums from households on a low income • Reduces impact of recalculation of CTR on recovery of council tax • Reduces administrative burden and risk of error by aligning with pensioner CTR scheme and UC • Flexibility for citizens to earn more and not lose CTR entitlement • Easier for citizens, stakeholders and officers to understand • Simplifies scheme aligning more to UC and looks more like a discount rather than a benefit 	<p>citizens move between income brackets (If banded scheme is introduced)</p> <ul style="list-style-type: none"> • Multiple less than deminimus changes in income and therefore CTR entitlement, both positive and negative, would result in no change in CTR and therefore potential inequality, as opposed to one change above the deminimus level (ignore small changes only) • May be less fair than current means test
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3. Simplify the existing CTR scheme and introduce a minimum payment for working age households (cost saving option)

Simplify the assessment process (as described in option 1) and align the scheme more closely with UC and introduce a minimum payment for working age households. This will require resource for planning and consultation, with any changes agreed by Full Council. Changes to the assessment system would also be required, and the extent of these would depend upon the scheme that was developed.

The introduction of a minimum payment was proposed again for the 2019/20 scheme but was not broadly supported and attracted negative publicity throughout the period of consultation. It would also necessitate the development of a discretionary fund to support the most adversely affected households.

Gross reductions in the cost of the scheme are currently estimated at between £4.4million and £5.9million for a 15% and 20% minimum payment respectively.

The advantages and disadvantages to this option are shown below:-

Advantages	Disadvantages
<ul style="list-style-type: none"> • Has potential to reduce costs or make savings even when recovery rates are considered • Removes need for means testing process • Targeted support can be given to those most in need through automatic protection or a discretionary fund • Reduces cost of administration of the scheme • Has potential to remove most evidence/information requirements from the process (especially once UC has been fully implemented) • Reduces unnecessary recalculation of CTR award following slight changes in income 	<ul style="list-style-type: none"> • Increases debt to the council for low income households • Increases overall costs of recovery for relatively small sums from lots of households • Increases overall administration for dealing with discretionary fund payments (if implemented) and disputes • Will impact citizens already on a low income already affected by benefit changes and freezes to benefits and tax credits • May increase use of foodbanks and/or charitable funds • May not protect vulnerable households • Will impact disproportionately on some

<ul style="list-style-type: none"> • Reduces risk of increased debt to the council for households on a low income • Reduces impact of recalculation of CTR on recovery of council tax • Reduces administrative burden and risk of error by aligning with pensioner CTR scheme and UC • Flexibility for citizens to earn more and not lose CTR entitlement • Easier for citizens, stakeholders and officers to understand • Simplifies scheme aligning more to UC and looks like a discount rather than benefit 	<p>equality groups</p> <ul style="list-style-type: none"> • Requirement to consult on changes to the scheme • Resource for changes to assessment system required • Resource to develop and implement scheme required • Maintaining current level of support may impact funding available for other services • Will result in slight drop in CTR where citizens move between income brackets (if banded scheme is introduced) • Increased demand for citizen services, more queries • Increased transaction costs if minimum payment is not made using cost effective methods (e.g. Direct Debit) • May be unpopular and result in more complaints • May impact other services where affordability checks are in place (e.g. access to social housing) • May be less fair than current means test • Development of a discretionary fund would undermine the administrative simplification
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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	Council Tax Reduction scheme for 2020/21
Directorate and Service Area	Finance, Benefits Service
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.

1.1 What is the proposal?

We are reviewing our Council Tax Reduction (CTR) scheme for 2020/21 in line with the Full Council decision of 05 Feb 2019 so that options are put forward for consideration.

CTR is a means-tested discount that provides support with Council Tax costs to low income households across Bristol.

Under section 13A(2) of the Local Government Finance Act 1992, each billing authority must make a scheme stipulating reductions in the council tax payable by those it considers are in financial need or by those within classes of people it considers are, in general, in financial need.

For those of pension age the amount of CTR support is calculated with reference to nationally prescribed regulations¹.

This means pensioners are protected from any local changes. These same regulations prescribe which people of working age must not be included in a local scheme (regulations 12 & 13) and some general requirements for all schemes (Schedules 7 & 8).

Our present caseload is approximately 35,400 as of January 2019, of which there are 67% (23,860) households of working age and 33% (11,540) of pension age².

At present, the scheme remains 'fully-funded' (and has been so since its introduction in 2013) meaning broadly similar levels of support are given to those of working age compared to those of pension age.

Whilst no political decision has been made as to the level of council tax increases in future years, the medium term financial planning assumes a model of 1.99% in 2020/21. Budget planning will take in to consideration all national and local contexts in determining future budget gaps and alternative income streams. Any proposed changes would be subject to public consultation prior to a formal decision. Any increase in council tax means a similar increase in the amount of funding for CTR if the existing scheme were to remain fully funded.

Options being discussed for an amended working age CTR scheme could range from continuing to fund the scheme fully, a scheme that maintains similar levels of funding but simplifies the CTR scheme by introducing income bands or ignoring small changes in income for those in receipt of UC, or for all households to make a minimum contribution to their council tax bill of (which could be 15% to 20%).

¹ The Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012 (SI 2012/2285)

² Northgate CTR625 report Jan 2019

The fully funded options will impact on other services because council expenditure is being reduced in other areas. Workload, complaints and increased footfall at the Citizen Service Point will impact staff.

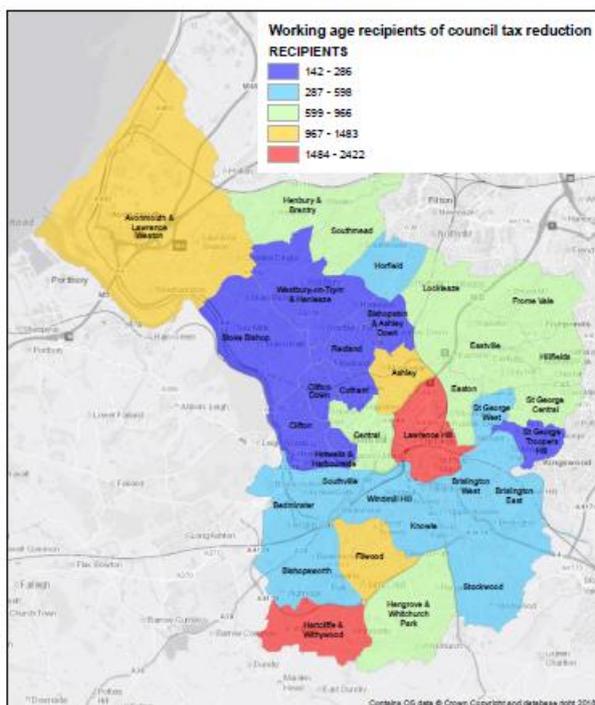
The changes to processing of awards are unlikely to reduce staff numbers in the immediate future. Protection from reductions in funding for households who cannot pay can be met through defining 'vulnerable' groups or including a discretionary fund to make up shortfalls between council tax and CTR.

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?

Our existing CTR claim database provides accurate data as of February 2019³ on the geographical location, household income, age, disability (if DLA or PIP are in payment), and sex of the claimant, partner and dependant.



Map 1. This map shows the distribution of our current working age caseload by ward as the absolute number of recipients per ward (rather than as a percentage of those per ward in receipt of CTR).

The areas most impacted by the proposal are generally more deprived areas of the city and are mainly located towards the centre or on the periphery.

Lawrence Hill and Withywood have the highest (red) number of recipients followed by Ashley, Avonmouth & Lawrence Weston and Filwood (yellow).

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

Our existing CTR claim database does not hold data on, religious belief/lack of belief, sexual orientation, marriage/civil partnerships, pregnancy/maternity, gender reassignment or disability (however it does show if a disability related benefit is in payment).

Some limited data is held on ethnicity but this is of poor quality due to the low response rates to equality questions asked on the CTR application form.

³ Northgate CTR625 report 18 March 2019 – mapping data by postcode of recipients

We do hold geographical location data for our current CTR claim database and we have been able to use census and other data to help fill the gaps in CTR data.

The assumption has been made (on a very local level at least) that protected characteristics will be evenly distributed across income groups within areas where there is no specific CTR information (for example, race, religion and belief).

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

Any changes to the scheme are subject to a 8 week public and Voluntary and Community Sector (VCS) consultation.

During the 2017 consultation we also made specific approaches to organisations and fora that represent households with protected characteristics and in addition, members representing all wards were invited to attend workshops on the proposals in March 2017.

This included representation from some of the most affected wards as well as members of the various scrutiny commissions. It is likely that a similar approach would be taken for any consultation in 2019.

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?

Yes, those working age people on low incomes who currently pay no Council Tax because they receive 100% CTR may now be asked to pay a minimum fixed percentage of their liability (this percentage may also vary depending on income).

If those with a particular protected characteristic are overrepresented within the low-income working age group then any change to the scheme is likely to have an adverse impact upon this group.

It is important to bear in mind that not every low-income household of working age will be affected by any changes because not every person in this group will have a Council Tax liability.

Changes to the local CTR scheme may affect those with protected characteristics who are liable for council tax in the following ways:

1. Age

If our scheme ceases to be fully funded then there are likely to be large differences between the support allowed for pensioner and working age cases. There is an exemption in the Equality Act⁴ which exempts us from the differential treatment of those of pension age by the CTR regulations.

There is no exemption⁵, however, in terms of the locally defined part of our scheme for those of working age.

⁴ Equality Act 2010 Schedule 22(1) in relation to part 3 'Services and Public Functions' (CTR is a 'Public Function')

⁵ Schedule 18 of the Equality Act 2010 that would apply to the Public Sector Equality Duty in part 11

It is not currently proposed that any changes to our CTR scheme treat any applicant differently due to age within the working age group.

Certain students are already excluded from CTR by our local regulations⁶ and it is likely that these will predominantly be younger people (note that many students will already be exempt from Council Tax).

It is unlikely that the rules relating to students would change in an amended scheme and the exclusion of this group this would already have been covered by the EqIA relating to the creation of our local scheme.

2. Disability

Department for Work and Pensions (DWP) official estimates⁷ show 18% of working age adults have a disability.

Our local CTR working age scheme of 35,400 households has 8,690 household for which DLA, PIP, or the Support Component of ESA are in payment for either the claimant or the partner⁸.

Using a disability benefit or the support component of ESA as a proxy for 'disability', around 25% of our working age caseload has a disability.

This shows that disability is overrepresented by at least 39% within the working age CTR scheme although as not everyone with a disability will be in receipt of a disability benefit, it is likely that this figures is an underestimate. In addition no data is available on other people in the household (i.e. children or non-dependents).

3. Gender reassignment

We do not hold any data on gender reassignment however there is no reason to suppose that this protected characteristic would be differently distributed across income bands or across the working age CTR caseload as a whole compared to the wider population⁹.

4. Marriage and civil partnerships (note this group is not covered by the Public Sector Equality Duty)

We do not hold any data on marriage and civil partnerships however there is no reason to suppose that this protected characteristic would be differently distributed across income bands or across the working age CTR caseload as a whole compared to the wider population.

5. Pregnancy and maternity

We do not hold any data on pregnancy and maternity however it would be reasonable to assume that this protected characteristic may be overrepresented in our current working age caseload due to the high number of families with children and particularly of female lone parents (see point 8).

⁶ Part 2(24) of our local scheme 'Classes of persons excluded from this scheme: students'

⁷ The most recent disability statistics available are for the financial year 2017/18

<https://www.gov.uk/government/statistics/family-resources-survey-financial-year-201718>

⁸ Northgate CTR625 report February 2019 for claimant or partner recipients of DLA/PIP or the Support Component of ESA

⁹ Note that the government notes that no robust comparison data exists for the UK population

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/721642/GEO-LGBT-factsheet.pdf

6. Race (note the protected characteristic of race includes colour, nationality and ethnic or national origins)¹⁰.

Census data from 2011 carries information on the ethnicity of Bristol's residents as shown in table 1 below.

This shows 16% being Black and Minority Ethnic (BME) and 5.1% being white (other than UK or Ireland).

It is likely that the majority of the 5.1% white group is comprised of European nationals as this correlates with table 2 that shows 4.6% with a European (non-UK) and Office for National Statistics) ONS data showing 4.7% of Bristol's population hold an EU passport.

Table 1. Ethnic Group (KS201EW)

	Count	
All Usual Residents	428234	
White; English/Welsh/Scottish/Northern Irish/British	77.9	
White; Irish	0.9	
White; Gypsy or Irish Traveller	0.1	
White; Other White	5.1	5.1%
Mixed/Multiple Ethnic Groups; White and Black Caribbean	1.7	
Mixed/Multiple Ethnic Groups; White and Black African	0.4	
Mixed/Multiple Ethnic Groups; White and Asian	0.8	
Mixed/Multiple Ethnic Groups; Other Mixed	0.7	
Asian/Asian British; Indian	1.5	
Asian/Asian British; Pakistani	1.6	
Asian/Asian British; Bangladeshi	0.5	
Asian/Asian British; Chinese	0.9	
Asian/Asian British; Other Asian	1	
Black/African/Caribbean/Black British; African	2.8	
Black/African/Caribbean/Black British; Caribbean	1.6	
Black/African/Caribbean/Black British; Other Black	1.6	
Other Ethnic Group; Arab	0.3	
Other Ethnic Group; Any Other Ethnic Group	0.6	16%

Table 2. Country of Birth (KS204EW)

	Count	
All Usual Residents	428234	
England	81.3	
Northern Ireland	0.4	
Scotland	1.1	
Wales	2.4	
Ireland	0.7	
Other EU; Member Countries	2.1	
Other EU; Accession Countries	2.5	
Other Countries	9.5	

¹⁰ Equality Act 2010, part 2(1)(9)

The CTR caseload is estimated to contain 25%¹¹ of those from BME communities a group which is overrepresented within the caseload when compared to the population of Bristol as a whole which is 16%¹².

Any reductions in support are likely to affect BME citizens disproportionately. Many of those wards that are most affected by the proposal also have more households with a member of a BME community (especially those central wards and those to the inner east of the city).

There is also considerable variability on a more local level as current census data (2011) shows, the highest BME percentage within a Lower Layer Super Output Area (LSOA) in Bristol is 80% and the lowest is 1%.

Data for CTR caseload regarding European nationals is not available and this area is further complicated by the fact that many European nationals will be excluded by CTR regulations for receiving any support; an exclusion which is exempted by the Equality Act 2010 as explained below.

The part of the prescribed CTR regulations¹³ that affect both those of working age and pension age require us to exclude certain persons from CTR because they are either 'persons subject to immigration control' or 'persons treated as not being in Great Britain'.

It is highly likely that European nationals and BME individuals are overrepresented within those excluded from CTR. In addition, the vast majority of those excluded will not be British citizens.

There is an exemption in the Equality Act¹⁴ which exempts us from the differential treatment of those excluded by the CTR regulations.

7. Religion and belief (including a lack of religion/belief)

We do not hold any data on religion and belief for our CTR caseload.

Data from the Office for National Statistics¹⁵ shows the three largest groups in Bristol to be Christian 47%, no religion 37%, and Muslim 5%

Table 3. Religion (QS208EW)

All Usual Residents	428234	
Christian	200254	47%
Buddhist	2549	1%
Hindu	2712	1%
Jewish	777	<1%
Muslim	22016	5%
Sikh	2133	<1%
Other Religion	2793	1%
No Religion	160218	37%
Religion Not Stated	34782	8%

¹¹ Working estimate used by benefits department in the absence of reliable data – see also section 2.2

¹² As per previous tables

¹³ (part 2(12)&(13) of SI 2012/2885 and incorporated into our local scheme as part 5 (21)&(22)

¹⁴ Equality Act 2010 Schedule 22(1) in relation to part 3 'Services and Public Functions' (CTR is a 'Public Function')

¹⁵ Percentage column added – remaining data from ONS as of Mar 2011

By LSOA we see the considerable variation for the top three groups by 2011 Census data as follows¹⁶:

Christian	20% to 99%
No religion	15% to 58%
Muslim	0% to 16%

The three maps below, maps 2-4 show the distribution within Bristol of these three largest groups within the protected characteristic of 'religion and belief'.

Comparing these with map 1 (distribution of CTR) suggests a correlation between areas with high proportion of Muslim residents and high CTR demand (central areas) but also high demand in some peripheral areas where there are high proportions of Christians or those with no religion.

Whilst it is clear that CTR will affect areas with different proportions of the groups that make up the protected characteristic of 'religion and belief', it is unclear without further research whether any one group will be disproportionately affected.

To do this, we would need to compare the overall percentages of these three groups across Bristol with those within the CTR scheme.

Map 2. Distribution of % Christian residents of Bristol from 2011 Census data (the darker the colour the greater the value).



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<http://profiles.bristol.gov.uk/IAS/dataviews/report?reportId=766&viewId=746&geoReportId=3593&geoid=408&geoSubsetId>

Map 3. Distribution of % 'no religion' residents of Bristol From 2011 Census data (the darker the greater the value)



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Map 4. Distribution of % Muslim residents of Bristol From 2011 Census data (the darker the colour the greater the value)



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8. Sex

Whilst the split between claims for single people of working age without children is roughly equal (6,715 men and 5,852 women), women make up over 95% of the 8040 single parent households in our current caseload (7664 women, 376 men)¹⁷ (this is higher than the average for the South West of 84.7% in 2017¹⁸).

Single parents make up 8,040 of the households currently receiving CTR and the majority of those (4,169)¹⁹ receiving CTR based on income-related benefit.

¹⁷ Northgate CTR625 report February 2019

¹⁸ Office for National Statistics most recent data 2017

<https://www.ons.gov.uk/peoplepopulationandcommunity/birthsdeathsandmarriages/families/adhocs/008423/estimatednumberofmaleandfemaleloneparentfamiliesbyregionsofenglandandukconstituentcountries1996to2017>

¹⁷

¹⁹ Northgate CTR625 report February 2019

Overall single female claimants (with or without children) make up 55% (13,060) of the CTR working age caseload (23,860) and a further 4,200 females will be receiving CTR a member of a couple²⁰.

Therefore, women on low incomes would be disproportionately affected by any changes to the working age CTR scheme.

9. Sexual orientation

We do not hold any data on sexual orientation however there is no reason to suppose that this protected characteristic would be differently distributed across the working age CTR caseload as a whole compared to the wider population²¹.

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

Justification:

On the basis of overall cost savings

Continuing to fully fund the CTR scheme may be unaffordable since the cost of the scheme is projected to rise to £43.2 million by 2010/21²².

We are presently the only Core City who runs a fully-funded scheme (a scheme which offers up to 100% discount). Other Core Cities have a provision for a minimum amount of Council Tax to be paid.

Changes to the scheme could generate savings of £5.9 million (gross)²³.

Mitigation:

Timely communication well in advance of the change would give affected citizens time to prepare and budget for increased payments of council tax.

Considering increasing the capacity/funding for existing debt advice in anticipation of increased demand.

Section 13A(1)(c) of part 1 of the Local Government Finance Act 1992 gives a billing authority the discretion to reduce (or further reduce if CTR has already been awarded) the amount of Council tax which a person is liable to pay as it sees fit (this includes the power to reduce an amount to nil).

Our present scheme Part 3(11) requires an application to me made for a reduction under 13A(1)(c). Once an application has been made, we could consider each case of hardship on its own merits.

²⁰ Ibid. Note single female claimants 12,752 (corrected to 13,060 by further filtering by title field Ms. Miss, Mrs. in case where sex of claimant field blank), single male claimants 6,434, couples with male claimant 2,068, couples with female claimant 11,390 (note figures don't quite match caseload of 23856 as sex of claimant/partner data has blank fields in some cases)

²¹ 2.0% UK population 2017 – source Office for National Statistics

<https://www.ons.gov.uk/peoplepopulationandcommunity/culturalidentity/sexuality/bulletins/sexualidentityuk/2017>

²² Decision Pathways draft report

²³ Ibid.

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

Compared to a fully-funded scheme no benefits would be created for people with protected characteristics.

We could, however, choose to protect certain 'vulnerable' groups of working age persons from a minimum payment of council tax and maintain the level of discount a fully-funded scheme would have given.

If we protected all those in receipt of disability benefits (DLA and PIP) for example – this would not guarantee that everyone who had a protected characteristic by virtue of disability was protected but everyone we defined as 'vulnerable' would have this protected characteristic.

Similarly, we could decide to protect lone parents with children under a certain age because women are overrepresented within this group.

3.4 Can they be maximised? If so, how?

Yes, assuming there were limited financial resources and providing we decided to protect some 'vulnerable' group/s of working age (from the effects of a changes scheme) then people then it would be possible to maximise the group/s with the highest proportion of those with protected characteristics.

For example, if we chose to protect those in receipt of DLA or PIP then we could be sure that 100% of that group would have the protected characteristic of disability even though not everyone who is disabled receives DLA or PIP.

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?

There will be a negative effect if the scheme moves from fully funded. This is unavoidable because some protected characteristics are disproportionately represented in the overall group of those of working age with low incomes.

The discretion to reduce council tax liability given by section 13A(1)(c) of the Local Government Finance Act 1992²⁴ should ensure that there is a remedy for cases where hardship is likely to result.

Should we move away from the fully funded scheme we could consider developing (and publicising) our section 13A(1)(c) council tax discount discretion in a similar way to our current Discretionary Housing Payment scheme which seeks to mitigate (for those in receipt of Housing Benefit) cases of severe hardship resulting from welfare reform.

²⁴ <http://www.legislation.gov.uk/ukpga/1992/14/contents>

4.2 What actions have been identified going forward?

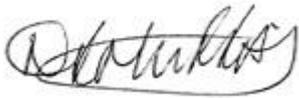
Timescales: Key decisions:

- CMB Report (Steer) (1st April 2019)
- EDM Report (10th April 2019)
- CMB Report (15th April 2019)
- Cabinet Report (Political Cabinet) (23rd April 2019)
- Cabinet Report (2nd July 2019)
- **Public consultation period (22nd July to 15th September 2019) if needed**

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

The CTR scheme is subject to an annual review and may be amended if required (subject to prescribed consultation periods and deadlines being met).

Service Director Sign-Off:



Date: 26/4/19

Equalities Officer Sign Off:



Duncan Fleming

Date: 9/4/2019

Appendix F – Eco-impact screening/ impact assessment of proposal

Eco Impact Checklist

Title of report: Local Council Tax Reduction Scheme 2017/18				
Report author: Matthew Kendall				
Anticipated date of key decision: 04 June 2019				
Summary of proposals:				
<p>Council Tax Reduction (LCTR) is discount for Council Tax that reduces the amount low income households need to pay. The scheme is enacted by legislation and the local authority, within parameters, can design its own scheme for working age households.</p> <p>A steer is being sought as to what changes, if any should be made to the 2020/21 CTR scheme. If a decision to change is made at Cabinet on the 4th June 2019 a period of 8 weeks consultation is needed, with any newly agreed scheme having to be ratified at Full Council by 11th March 2020.</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?	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>				
The proposal has no eco impacts that the report author can identify.				
Checklist completed by:				
Name:		Matthew Kendall		
Dept.:		Benefits Service/Finance		
Extension:		26546		
Date:		3 rd April 2019		
Verified by Environmental Performance Team		Nicola Hares, 4 th April 2019		

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 18 June 2019

TITLE	2018/19 Finance Outturn		
Ward(s)	<i>n/a</i>		
Author: Michael Pilcher	Job title: Senior Finance Business Partner		
Cabinet lead: Craig Cheney	Statutory Officer lead: Denise Murray		
Proposal origin: <i>Other</i>			
Decision maker: Cabinet Member Decision forum: <i>Cabinet</i>			
Purpose of Report: To inform Cabinet of the final financial position of the Authority for the year 2018/19.			
Evidence Base: The Council is required to publish its annual statement of accounts for 2018/19 at the end of May, and they were presented in draft to the Audit Committee on the 28 May and published on the Council’s website on 31 May, prior to their review by the Council’s external auditors, for final approval and publication by the 31 July. This report sets out the final position of the Council’s General Fund revenue account for the year, along with other ring-fenced accounts of the Council and expenditure against the approved capital programme, along with reasons for key variances. General Fund net expenditure, after taking account of adjustments to and from reserves, has been contained within a balanced budget for the year delivering a small surplus of £3.2m. This incorporates additional grant for small business rate relief which the Council has received as a consequence of late notification of formula changes as noted in the in-year monitoring. The Housing Revenue Account has underspent the annual budget allocation by £8.3m, which must be carry forward for re-investment in the Council’s landlord functions. The Dedicated Schools Budget had an in-year surplus of £3.0m which after deducting historic high needs deficits, results in a carry forward underspend of £2.0m, this is predominately driven by a £1.5m surplus in schools block from excess recoupment reimbursed, dating back to 2016, but also variations in high needs and early years funding. The report also sets out, in Appendix A2, performance against delivery of the planned savings as approved by Full Council in February 2018. Full details of all areas are provided in Appendix A to the report.			
Cabinet Member / Officer Recommendations: That Cabinet note: <ol style="list-style-type: none"> 1. the contents of the report and the final position of the General fund for the financial year 2018/19 of a £3.2m surplus, and the key reasons for budget variances as set out in Appendix A of the report; 2. the final outturn of the Council’s capital expenditure, of total expenditure of £129.5m compared to a final capital budget for the year of £160.4m; 3. the outturn position for the Dedicated Schools Grant of £1.962m surplus to be carried forward; 4. the outturn position for the Housing Revenue Account of £8.3m underspend to be carried forward for the councils landlord functions; 5. the balanced outturn position of the public health grant; 6. the implication of the final outturn on the Council’s reserve position; 			

7. the in-year collection levels for both Business Rates and Council Tax;
8. the level of aged debt as at 31 March 2019; and
9. the performance on delivery of savings.

That Cabinet approve:

10. the addition of new specific grants reserve requests totalling £0.905m to the budget and simultaneous transfer to reserves;
11. carrying forward capital budget totalling £26.6m within general fund and £2.8m in HRA;
12. the re-profiled capital programme as detailed in appendix A5;
13. the transfer of the year-end balances of £1.578m, made up of £1.561m from the Schools Block and £17k from the School Central Services Block to the High Needs Block ;
14. £0.517m from the carry forward underspend on early years block to maintain the current maintained nursery schools supplement in 2019/20; and
15. the increases to SEN funding for early years settings, with effect from 1st April 2019, consistent with the proposals that were the subject of consultation in December 2018, but for one financial year only, pending the outcomes of the full review of top-up arrangements in the High Needs Transformation Programme.

Background Documents: <https://www.bristol.gov.uk/council-spending-performance/council-budgets>

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 report is concerned with the financial performance of the authority during 2018/19 and therefore all financial implications are contained within the report.

Finance Business Partner: Michael Pilcher

2. Legal Advice: the report and appendices will enable cabinet to review and understand the budget outturn for 18/19 in line with the council's legal obligation to deliver a balanced budget. The report also includes key decisions for the allocation of funds in 19/20. There are no specific legal implications in relation to these decisions.

Legal Team Leader: Nancy Rollason, Head of Legal Service

3. Implications on IT: There are no IT implications arising from production of this report.

IT Team Leader : Ian Gale, Head of IT

4. HR Advice: Expenditure on staffing is monitored on a monthly basis by budget holders. Managers are required to manage expenditure within the agreed staffing budget that has been set for 2018/19.

HR Partner: Mark Williams, Head of Human Resources

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	NO
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO

Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO

1. Executive Summary

- 1.1. This outturn report provides information and analysis on the Council's financial performance and use of resources to the end of the financial year 2018/19, in comparison to the budget set by Council on 20 February 2018, whereas prior reports have focussed on the movements since the previous report.
- 1.2. It is a management report which precedes the production of the Council's formal Statement of Accounts, of which the draft was published and submitted for external audit and inspection on the 31 May. As is the case with every year-end report there are a number of changes that result as balance sheet activities are reviewed and finalised and although the Outturn Report and Statement of Accounts reconcile to one another, it is the statutory Statement of Accounts on which the audit opinion is formed and accounting regulations drives some of the final movements reported.
- 1.3. The key areas covered in this report are revenue, capital, core funding, debt management, reserves and savings.
- 1.4. The overall revenue budget position after taking account of adjustments to and from reserves was a 'cash surplus' of -£3.2m (-0.9%). This is a movement of -£2.5m on the forecast reported as at the end of January with many services reporting small favourable movements with the predominate exception of Adult Social Care, Economy of Place and Commercialisation and Citizens (Facilities Management). For the purpose of this report, an 'underspend' is the difference when comparing budgeted allowance to actual expenditure incurred and a 'cash surplus' is additional cash in-flows to which no budgeted expenditure has yet been agreed.
- 1.5. The Capital Programme is reporting an outturn of £129.5m, this is an underspend of -£30.8m (-19%) compared to the revised programme position reported in January and -53% (-£114.8m) when compared to the original budget of £244.3m. This is largely due to the change in accounting treatment for expenditure incurred for Temple Island, external delays and variances to schemes with spend profiles that span a number of financial years.

2. Revenue Budget Summary

- 2.1. The Council's overall annual revenue spend during 2018/19 has been managed across a number of areas:
 - a. The General Fund with a net budget of £372.4m, providing revenue funding for the majority of the Council's services;
 - b. The Dedicated Schools Grant (DSG) of £347.9m, which is ring-fenced for schools funding, overseen by the Schools' Forum, and surplus / deficit in 2018/19 has been managed within the fund;
 - c. Public Health, a ring-fenced grant of £32.5m, focused on the delivery of the Public Health Outcomes Framework and surplus / deficit in 2018/19 is managed within the fund;
 - d. The Housing Revenue Account (HRA) of £101.6m gross spend is a ring-fenced fund which the council's housing revenue (e.g. tenants rent) are kept and reported separately from the general fund. Any surplus / deficit in

2018/19 is managed within the fund.

General Fund Summary

2.2. The net expenditure budget varies from the original budget agreed by Council due to the final adjustments to the Local Government Finance Settlement, accounting for budgeted collection fund deficit transactions, additional business rates levy grant and other funding received in year. A reconciliation is provided in the table below.

2.3. A full reconciliation of the expenditure budget to the approved Council budget is provided in Appendix A3.

Table 1 – Funding Reconciliation

	£m	
Original Budget	356.262	
Funding Changes		Allocated To
Adult Social Care Grant	2.028	People
Additional Business Rates s31 Grants	5.339	People/Corporate Expenditure
Collection Fund Adjustment	7.279	Corporate Expenditure
Business Rates Levy Grant	1.540	Corporate Expenditure
Revised Budget	372.448	

2.4. The net General Fund outturn is £370.0m and in the context of the funding available / generated (£373.3m) resulted in an overarching cash surplus of £3.2m (0.9%) for the year-end.

2.5. Table 2 provides a summary of how each directorate performed against the 2018/19 budget and the primary reason for the outturn variation is outlined below the table. The movement from the forecast position in January is shown in Appendix A1 and more detailed financial performance by directorate is outlined in the service detail section of this report.

Table 2: General Fund Outturn Budget Position

	Revised Budget	Outturn	Variance
£000s			
People			
Adult Social Care	149,881	151,008	1,127
Children and Families Services	63,883	63,054	(829)
Educational Improvement	1,526	963	(563)
Public Health	1,517	1,500	(17)
Public Health - General Fund	470	33	(437)
Total People	217,277	216,558	(719)
Resources			
Digital Transformation	12,563	12,352	(211)
Legal and Democratic Services	6,360	6,323	(37)
Finance	10,993	10,278	(715)
HR, Workplace & Organisational Design	11,598	11,112	(486)
Policy, Strategy & Partnerships	2,616	2,581	(35)
Commercialisation & Citizens	7,807	8,121	314
Total Resources	51,937	50,767	(1,170)
Growth & Regeneration			
Housing & Landlord Services	10,893	10,556	(337)
Development of Place	1,524	1,390	(134)
Economy of Place	15,082	15,763	681
Management of Place	42,980	41,299	(1,681)
Total Growth & Regeneration	70,479	69,008	(1,471)
SERVICE NET EXPENDITURE	339,693	336,333	(3,360)
Corporate Expenditure	39,817	40,768	951
Dedicated Schools Grant	(7,062)	(7,062)	0
TOTAL REVENUE NET EXPENDITURE*	372,448	370,039	(2,409)
Corporate Revenue Funding	(372,448)	(373,258)	(810)
TOTAL	(0)	(3,219)	(3,219)

2.6. The primary explanations for the outturn variations are identified below.

People

- Adult Social Care +£1.1m (+0.8%) overspend is being reported at year-end.

The outturn position for Adult Social Care shows an overspend of £1.127m against a budget revised to £149.9m in period 7 as a result of a supplementary estimate. Further pressures materialised as a result of reduced savings and additional costs in Disabled Facilities Grant (DFG) and adverse changes in the apportionment in costs between BCC and BNSSG CCG for those service users eligible for s117 funding income.

- Children and Families Services -£0.829m (-1.3%) surplus is being reported at year-end.

The main basis for the surplus is the troubled families back-dated performance related funding, which exceeded the expectation at budget setting by £0.600m for 2018/19 and £0.500m arises through improvements and the number of Children's placements and some expected placements for which implementation was delayed.

- *Educational Improvement* - £543k (-36.1%) underspend is being reported at year-end.

The budget pressures forecasted earlier in the financial year were addressed through a supplementary estimate of £1.600m in Period 7. Improvements to the financial position in relation to Additional Learning Needs and Education Management have resulted in an underspend.

- *Public Health - General Fund*- £436k (-92.8%) underspend is being reported at year-end.

The large changes to the year-end budget and actuals arise from technical accounting requirements on the Hengrove Leisure Centre Private Finance Initiative contract which was subject to refinancing.

Resources

- *Finance*- £715k (-6.5%) surplus is being reported at year end.

Housing Benefit - A "Local Authority Error Overpayment" is caused by a mistake by the Council or an administrative delay and there is a risk that the council cannot claim back the whole amount. If following audit our error rate is less than 0.48% of the total amount of our claim we can receive 100% subsidy back. Between 0.48% and 0.54%, 40% is paid back to us and if the error rate is rate is 0.54% or above, no subsidy is paid on any of the overpayments.

Due to increase monitoring of accuracy and response times the audited error level was below the threshold and 100% subsidy could be claimed.

- *HR, Workplace & Organisational Design* - £486k (-4.2%) underspend is being reported at year-end.

At year end additional project management costs were charged directly to projects and other sources of funding than was assumed within the budget decreasing the overall cost to the net general fund of these project costs.

- *Commercialisation & Citizens* + £314k (+4%) overspend is being reported at year-end.

This overspend is primarily due to Facilities Management overspend due to the delayed delivery of planned savings.

Growth & Regeneration

- *Housing & Landlord Services* -£336k (-3.1%) underspend is being reported at year-end.

Underspend primarily due to additional capitalisation of staffing time to capital projects.

- *Economy of Place* £681k (+4.5%) overspend is being reported at year-end.

The overspend is due to enabling costs and advanced scheme design costs incurred to facilitate future capital pipeline, future capital receipts and consultancy work to enable funding from partners. These additional costs are contained within the directorate cash limit.

- *Management of Place* - £1.6m (-3.9%) surplus is being reported at year-end

This is predominantly due to areas where Income has exceeded expectation. The prime example of this is parking and leveraging of additional external income and funding for core activity. This reflects the efforts made by the organisation to promote economic development and growth.

- *Corporate Expenditure* + £0.951 (+-2.4%) is being reported at year-end.

The underspend on the capital programme resulted in lower capital financing costs and meant the Council weren't required to take out and finance the additional planned borrowing. This underspend was offset against additional provisions required at year end against future liabilities.

Grants notified late in the financial year

2.7. Additional grant funding was announced late in March which didn't give sufficient time to plan and spend the money on the aims of the grant. These grants are permissible for carry forward and in line with accounting requirements these grants are allocated to specific earmarked reserves to be spent in 2019/20 and are not included in the outturn surplus in table 2. A breakdown of these grants is shown in Table 3. It is requested to move these into specific earmarked reserves.

Table 3: Grants received subsequent to previous monitoring report

	£m
FGM Grant	0.010
Flexible Homelessness grant	0.385
Rogue landlords grants	0.154
Homelessness Reduction Act new burdens grant	0.058
Rough Sleepers Grant	0.032
Neighbourhood Development Plan	0.074
Flood and Water Management	0.192
	0.905

3. Housing Revenue Account (HRA) Summary

3.1. For the financial year 2018/19 the Housing Revenue Account has reported a underspend of -£8.3m (-8.1%) on the gross budget of £101.3m. This must be retained within the ring fenced HRA for which there is a long term business plan subject to regular review.

3.2. The primary explanations for the outturn variations are identified below:

- Contractor and other delays in Repairs and Maintenance £3.2m
- Revenue funded capital account (CERA), underspend due to: slippage of the capital programme into future years - £1m
- Rent income greater than budgeted due to pace of relets at target rents - £1m.
- A range of other variances resulting from areas such as; Staff turnover / vacancies, a reduction in the Fleet charge due to the fleet replacement programme not being completed and a reduction in the recharges from the general fund.

3.3. A summary of the HRA movement from the forecast position in January is shown in Appendix A1 and more detailed financial performance by directorate is outlined in the service detail section of this report.

4. Dedicated Schools Grant (DSG) Summary

4.1. The DSG is a ring-fenced grant which is allocated in four blocks. The Schools Block funds the Individual Schools' Budgets of Academies and Authority schools. The Early Years Block funds the provision of education for children from age 3 up to age 5 and for qualifying two year olds. The High Needs Block funds the place budgets at special schools, Enhanced Resource schools and Pupil Referral Units within the Council's geographical boundary and other expenditure required to support children and young people with additional educational needs. The Central School Services Block funds limited central expenditure on behalf of all schools and academies plus historic commitments that have been agreed by the Schools Forum.

4.2. In 2018-19 expenditure was £344.9m compared with in year grant income of £347.9m, offset by brought forward spend of £1.0m as agreed with Schools Forum (net £346.9m), resulting in a net surplus of -£1.9m. The service section of this report shows the analysis of this variance by area and the later paragraphs provide narrative on the reasons for the variances.

4.3. The primary explanations for the outturn variations are identified below:

- The High Needs budget started the year with a brought forward historic deficit of £2.1m and in year budget of £55.5m. The outturn for 2018/19 was £54.5m, £910k underspend against the available in-year funding, leaving a cumulative deficit of £1.1m (1.6%). A separate report to May Schools Forum: <https://www.bristol.gov.uk/resources->

[professionals/schools-forum-papers-and-minutes](#) provides more detail about the components of this block.

Whilst each block is discreet, in the context of the overarching DSG the high needs pressure is offset by the following:

- The Council was successful in securing reimbursement of schools funding in March from the Education Skills Funding Agency of -£1.4m in relation to excess recoupment identified, dating back to 2016.
- The Early Years Block has a surplus of -£1.1m (3%) due to lower number of childcare hours provided in comparison to that provisionally anticipated in the census and allocated funding by the Department for Education (DfE). The DfE do not have a claw back mechanism aligned to this funding and it is therefore a surplus to the DSG.
- The residual underspend of -£554k is attributed to the growth fund, unspent monies from previous years attributed to areas such as schools in financial difficulty, trades union services and other minor underspends within the blocks.

4.4. Much of the surplus has resulted from a windfall and support was given by the Schools Forum to transfer £1.5m to the High Needs Block. To carry forward £414k earmarked for Schools in Financial Difficulties and Trade Union activities for LA maintained schools and £517k previously agreed for Maintained Nursery School supplement 2019/20, plus £208k to allow increase on SEN rates as agreed following recent consultation.

4.5. This leaves a residual £390k of the early years surplus which will be transferred to the School Reserves pending a wider strategic discussion in 2019/20 of the competing pressures to which this surplus funding should be applied. Targeted work is required to increase take up of places for those that most need them, and continuing High Needs pressure. The forecasted 2019/20 high needs pressure following the transfer proposed reduces from £3.6m overspend (forecast 2019/20 Budget approved by council) to £1.6m forecasted overspend.

4.6. The changes above have no impact on the overall general fund position as all changes are between blocks. 4 schools with deficit balances have become academies in 2018/19 and as such their accumulated deficits totaling £1.5m remains with the Local Authority (not the DSG) when they become sponsored. At the end of 2018/19 these deficits have been written off against the Council's general fund budget.

5. Public Health (PH) Summary

5.1. The PH services has been subject to an end to end review in 2018/19 to right size and ensure it has the skills and capacity to support a system leadership

approach across the city; and meet the requirements of the Public Health Outcomes Framework within a reducing funding stream.

5.2. The total PH expenditure in 2018/19 is £34m. This has been financed by the £32.5m in-year public health grant and a further +£1.5m planned draw down from the earmarked PH ring-fenced reserve to achieve a balanced in year position.

5.3. In addition to the above the Council allocated £470k of general fund budget to public health further supplementing the national ring-fenced grant.

6. Capital Programme

6.1. The capital programme changed during the year as the phasing of schemes was reviewed and approvals for additional schemes and resourcing were agreed. The original capital programme set in February 2018 totaled £244.3m (including £47.0m HRA) and approvals were sought in subsequent budget monitoring reports to revise the 2018/19 programme to a budget of £160.4m.

6.2. Table 4 sets out the Capital Outturn position by Directorate (Full breakdown is available in Appendix A4)

Table 4: Capital Outturn Summary

Approved Budget Council (Feb 18)* £m	Directorate	Revised Budget £m	Outturn £m	Outturn Variance £m
33.150	People	25.848	21.806	(4.042)
7.220	Resources	8.885	4.507	(4.378)
138.383	Growth and Regeneration	69.368	49.686	(19.682)
18.595	Corporate**	16.742	16.797	0.055
47.000	Housing Revenue Account	39.544	36.746	(2.798)
244.348	Total	160.387	129.542	(30.846)
	<i>Financed By:</i>			
111.365	Prudential Borrowing		32.675	
68.674	Capital Grants		41.767	
10.484	Developer Contributions		1.539	
4.915	Capital Receipts		6.606	
47.000	HRA		36.746	
1.910	Revenue Contributions		10.209	
244.348	Total		129.542	

*Restate to reflect revised management structure

**Includes schemes pending business case development

- 6.3. The actual capital outturn achieved for 2018/19 is £129.5m, which includes £36.7m attributed to the HRA and overall indicates c.53% delivery when compared to the originally agreed programme.
- 6.4. The slippage/ delays can be attributed to a range of factors both internal such as capacity and external such as planning and environmental factors. The level of actual prudential borrowing required to finance this reduced programme is £32.6m, which is £78.7m lower than when the budget was agreed. This has had an impact on the revenue accounts with a reduction in the capital financing costs associated to the debt for the programme,
- 6.5. At the end of the financial year the capital programme had an overall underspend of £30.8m (19%), this was primarily due to delays, slippage across various projects in the programme and costs reduction.
- 6.6. Of the £30.8m underspend approval is sought to re-profile £26.6m general fund and £2.8m HRA into future years due to delays to various schemes, £1.4m is considered an underspend on various projects and will be removed from the programme. Full detail is provided in appendix A5.

7. Core Local Income

Council Tax and Non Domestic Rate Collection

- 7.1. Table 5 below shows the level of Council Tax and Non Domestic rates collected by the Council as at 31st March 2019 and the comparable performance for 2017/18.

Table 5 - Council Tax and Non Domestic Rate Collection

	Council Tax			Business Rates		
	2018/19	2017/18	Trend	2018/19	2017/18	Trend
Collectable Debit	241.4	239.1	↑	229.8	228.7	↑
Collected*	233.7	231.5	↑	225.9	223.9	↑
Percentage	96.82%	96.79%	↑	98.31%	97.93%	↑

- 7.2. It should be noted that the financial value increased year-on-year for both Council Tax and Non Domestic Rates. In addition, the proportion collected also increased for both Non Domestic Rates and Council Tax collected.
- 7.3. This has been assisted by the tapered introduction of Universal Credit, the growth incentivised by the Business Rates Pool and 100% business rates retention pilot. These elements have the ability to reduce the levy and retain the growth for distribution to the pool authorities. For Bristol 5% is transferred to West of England Combined Authority, 1% to the Avon Fire and 94% retained by BCC.
- 7.4. On Council Tax, the collection surplus for the year of £2.192m, of which £1.884m, is BCC's Share. Similarly for Non-Domestic Rates a deficit of

£1.288m has been recorded, of which £1.210m is BCC's 94% share. Both these figures have improved since the estimates included within the 2018/19 budget.

7.5. The actual growth achieved is greater than stated above. This figure is now masked by reductions being off-set by an increase in Section 31 grant to compensate for the cumulative impact on Locally Retained Business Rates of the various policy changes to the business rates multiplier that have been introduced by Central Government. The example of this for 2018/19 is captured by the increase in budgets and funding reconciliation in section 2.3.

8. Debt Management

8.1. During the year the Council collects core locally retained funding and income from various areas to fund the services provided. A breakdown of the main sources of debt outstanding at 31 March 2019 is outlined in the table below.

Table 1: Opening and closing balances of outstanding debt

Type of Debt	Opening Balance (01/04/2018) £m	Movement £m	Closing Balance (31/03/2019) £m
Sundry Debt	31.437	8.852	40.289
Council Tax Arrears	11.974	(0.434)	11.540
Business Rates Arrears	5.439	(1.347)	4.092
HRA Housing Arrears	11.155	0.273	11.428

8.2. There is an increase in sundry debt, which is predominantly due to a number of invoices raised towards the end of the financial year such as those for Better Care Fund contributions and West of England Waste Partnership payments. These payments were still outstanding as at 31 March, slightly distorting the outturn. Excluding areas such as these the sundry debt position would have been £34.4m.

8.3. Despite the overall increase in sundry debt, long term debt position, that is debt over a year old has decreased by £0.900m during the year.

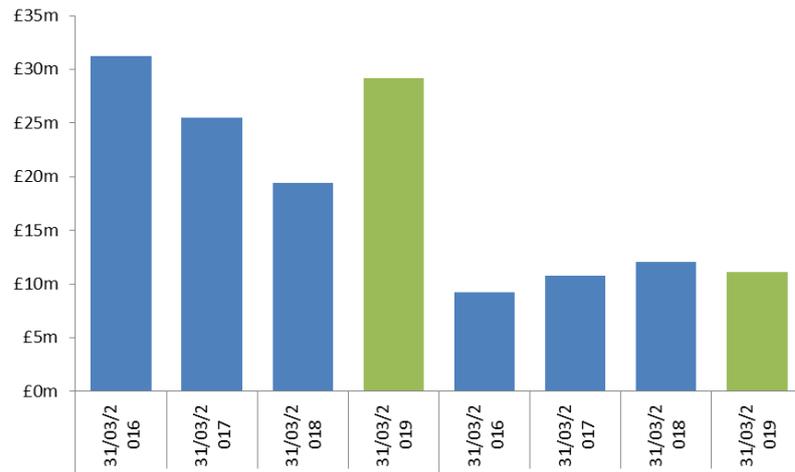


Figure 1: Comparison of debt <1 year old and debt >1 year old over last four years

9. Movement on Reserves

9.1. The following section sets out the impact of the outturn on the earmarked reserves held by the Council.

Movement on General Reserve

9.2. The opening balance on general reserve is £20.0m. The £3.2m surplus for 2018/19 is transferred to the general reserve. Table 7 below details the impact of the outturn position on the balances of the Council. The level of general reserve ends the year at £23.2m (6.2%) and is marginally higher than the recommended balance of 5% - 6% as stated in the Medium Term Financial Plan and Budget agreed by Council.

9.3. The Council (in common with other public bodies) continues to face a difficult financial climate; therefore, it is prudent to retain robust balances to smooth the potential effect to the tax payer of further cuts in central government funding as the funding amount and methodology for financing local government changes and this must be balanced with emerging pressures and priority spend in 2019/20.

Movement on Earmarked Reserve

9.4. The 2018/19 opening balance on Earmarked Reserve is £87.4m. The normal operation of council business includes movements on earmarked reserves, including spending existing reserves or placing new funding aside for use in future years.

9.5. During the year there were contributions to reserves of £17.0m and drawdowns from reserves of £23.3m, resulting in a net decrease in earmarked reserves for the year of £6.2m and table 7 below sets out those reserves with movement during the year. The net planned decrease in earmarked reserves for 2018/19 was £11.6m.

9.6. It has not been necessary to draw on the capital receipts to fund transformation in 2018/19 however it is expected this carry forward will be required over the life of the medium term to fund significant transformational projects and short life assets such as the ICT strategy and infrastructure projects.

9.7. The level of earmarked reserves further supports the forward planning of the organisation. This approach to financial management will help to deliver our corporate priorities during the short to medium term whilst mitigating / managing risks.

Movement on Other Reserves

HRA Reserves

9.8. The 2018/19 opening balance on the HRA Reserve is -£79.8m. The -£8.3m underspend for 2018/19, and planned contributions related to CCTV replacement and energy efficiency work as well as £0.9m drawdown to fund new housing management system gives a combined total of £10.3m. This underspend is ring-fenced and must be retained within the ring fenced HRA for which there is a long term business plan, subject to regular review. The main reasons for the movement of £1.4m from the P10 forecast are set out below.

School Reserves

9.9. The 2018/19 opening balance on schools Reserve is £6.7m. Overall schools specific balances have improved by £2.9m on revenue and £1m on capital, however it should be noted that this is a net position as 15 maintained schools have ended the year with deficit balances that will be carried forward into 2019/20. Also the £2.9m in-year underspend on the DSG results in £5.9m additional contribution to reserve. £240k has been drawn down for redundancy costs and maternity / absence insurance scheme for schools leaving a closing balance of £12.5m.

Table 7: Summary of Movement of Revenue Reserves during 2018/19

Earmarked Reserve Type	Opening Balance 31.03.18	Contributions to	Drawdown	Closing Balance 31.03.2019
Capital Investment Reserves	(16.795)	(7.500)	10.065	(14.230)
Transformation Reserves	(5.684)	0.000	1.322	(4.362)
Risk Management Reserves	(21.239)	(4.622)	7.253	(18.609)
Ring-Fenced Reserves (Including Public Health)	(14.642)	(1.685)	1.502	(14.825)
Financing Reserves	(13.600)	(1.242)	3.107	(11.735)

Service Specific Reserves	(15.462)	(1.997)	0.038	(17.419)
Total Earmarked Reserve	(87.421)	(17.045)	23.286	(81.179)
General Reserve	(20.000)	(3.258)	0	(23.258)
HRA	(79.838)	0	(10.337)	(90.176)
Schools	(6.761)	(5.972)	0.240	(12.493)

9.10. £0.9m of specific grant income received in advance has been put aside ahead of future planned expenditure due to timings in receipt of grant and planned expenditure.

Table 8: Summary of Contributions to revenue reserves during 2018/19

Source	£	Contributions For
MRP Clawback	7.500	Capital investment reserve, which includes Energy Initiatives
Corporate Budget	2.062	Insurance Fund
Business rates pool	1.636	Technical City Deal pooling reserve
MHCLG Levy rebate for 2019/20	1.539	2019/20 Budget Setting
WECA – Gain/Levy 2018/19	1.019	WECA levy variations / pressures
Business rates income	1.000	Streetscene - BWC
Specific grants	0.905	Grants received in advance
PFI credits	0.604	PFI Sinking Fund
Business rates income	0.500	Bristol Credit Union
Budgeted project invest to save	0.230	Strengthening families
Downs Budget	0.048	Downs
	17.045	Total

9.11. During the year there was £23.3m drawdown from ear-marked reserves. At budget setting drawdown of £19.9m was planned drawdown from reserves.

Table 9: Summary of drawdowns from revenue reserves during 2018/19

Use	£
Arena Revenue Reversion	11.822
Bristol Energy Approved Business Plan Investment	6.500
Waste Operation	3.000
Public Health	1.486
Planned Capital Spend (incl. Education Management System)	0.371
Hengrove PFI Sinking Fund	0.107
Total	23.286

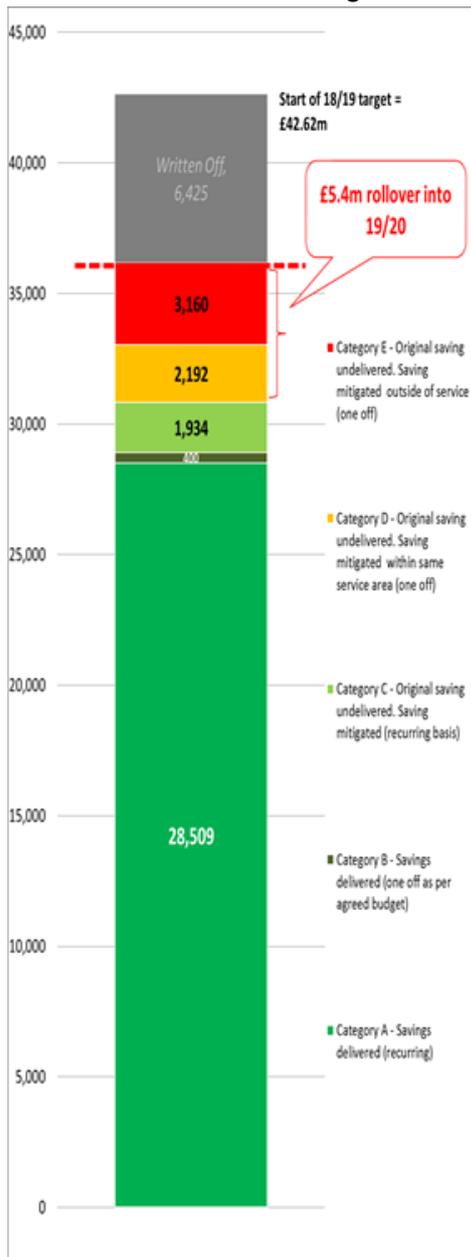
10. Performance against Savings Programme

10.1. To balance the 18/19 budget, savings totalling £34.5m were approved by Full Council. £29.1m of these have been confirmed as delivered on an on-going basis. £5.4m wasn't delivered during the year but was mitigated by other one-off tactical savings, or non-recurring income, which was addressed

throughout the year and reported monthly to Cabinet. In addition there was £8.1m of savings planned in 17/18 which hadn't been delivered on an on-going basis, totalling £46.2m savings required for 2018/19.

10.2. As shown in Figure 2, of the total £46.2m savings requirement for 18/19 £6.4m have been written off as undelivered. Of the residual £39.8m, £5.4m remains undelivered and is carried forward into 2019/20.

Figure 2: End of Year Savings Tracker



One-off mitigations for 2018/19

- **Category E: £3.2m required mitigations from alternative sources such as wider Directorate budgets or contributions from other sources.** The savings will still be required to be delivered in 19/20. The status of plans for delivering these savings in 18/19 is varied.
- **Category D: £2.2m was mitigated in year via one-off approaches within the same services, but the original approach still stands and will roll into 18/19.**

Recurring Mitigations

- **Category C: £1.9m was mitigated in year via recurring approaches within the same services.** These were each reviewed and approved by Delivery Executive.

Delivered as Planned

- **Category B: £0.4m delivered as per the original agreed method and signed-off as closed.** These were always planned as one-off savings.
- **Category A: £28.5m delivered as per the original agreed method and signed-off as closed.** These are recurring savings.

10.3. For various reasons a saving may not deliver the original budgeted amount. Once all possible mitigations have been exhausted to deliver the saving,

the last course of action is to write off the saving. This is the last step as doing this will increase the future savings requirement.

- 10.4. The following agreed savings have been written off. The impact of not delivering these have been fully reflected in the budget setting process for 2019/20 so does not have a further impact on the on-going financial position of the authority.

Table 10: Breakdown of written off savings

Directorate	Saving Description	£m
People	BE8 – Best Value Contracts	0.325
People	FP22 – Increase Supported Living Provision	0.198
People	FP03 – Implementing a new model of care	1.204
People	RS08 – Respite Policy Review	0.454
People	FP04 – Recommission Community Support Services	2.106
People	FP05 - Education Services Grant	0.465
Growth & Regeneration	RS04 – Libraries	1.040
Growth & Regeneration	FP11 - Single city-wide Information, Advice and Guidance Service	0.090
Growth & Regeneration	BE22 - Centralised events	0.038
Resources	FP14 - In-house enforcement	0.347
Resources	RS15 - Reduce Discretionary Rate Relief for business rates	0.158
Total		6.425

- 10.5. Appendix A2 gives additional detail regarding mitigation to delivery of savings.

11. Service Detail

People

Revised Budget £223.1m in P10	Outturn £232.6m in P10	Outturn Variance (£0.6m) in P10	Movement from P10
P12 £215.8m	£215.1m ↓	(£0.7m) ↓	(£0.1)m

Education

11.1. The General Fund position for Education produced an underspend of (£0.6m) at year-end. This was an increase of (£0.2m) on the forecast (£0.4m) from Period 10.

11.2. The components are explained as follows. -£0.107m underspend within Early Years, which is part of a reduction reflected in the budget setting for 2019/20. -£0.146m underspend on Education Management is a combination of one-off savings and reductions that have already been anticipated for 2019/20. -£0.275m underspend on Additional Educational Needs was known at Period 10 and has been applied in 2019/20 to the pressures within Home-School Transport. The final -£35k underspend is in Employment and Skills and includes minor variances on staffing which will not recur.

Children and Family Services

11.3. The Children and Families position has ended the year with an underspend of £0.829m, which is an improvement on the £17k forecast overspend reported in Period 10.

The main changes since previous forecast is -£0.6m underspend arises because the basis of the troubled families reward grant during 2018/19. Previously, Bristol was one of the authorities granted Earned Autonomy which provided guaranteed funding, plus the back-dated performance related funding for 2017/18, which exceeded the expectation about grant income at budget setting for 2018/19.

11.4. -£0.5m arises through improvements within Children's placements, including some expensive reductions in the last two months, some expected placements that whose implementation was delayed beyond the year-end and some additional income.

Table 11: Breakdown of Children and Families

Placement Category		Financials				
Placement Category	Cost Centre name	AVERAGE APR TO MARCH	ANNUAL BUDGET £000	ANNUAL FORECAST £000	FORECAST VARIATION £000	ACTUAL AVERAGE WEEKLY COST (£)
Bristol Residential	Inhouse Supported Accom - Looked after (Pre 18)	7	85	238	153	132
	Inhouse Supported Accom - (Post 18)	28				

	Childrens Residential Homes	11	3,037	2,536	-502	4,578
Bristol Residential Total		45	3,122	2,773	-349	4,710
Foster Care	In house Foster care - Looked after (Pre 18)	395	6,091	5,819	-272	258
	In house Foster care - (Post 18)	39				
	Independent Fostering Agencies - Looked After (Pre 18)	157	7,072	6,200	-872	653
	Independent Fostering Agencies - (Post 18)	26				
	Adoption - Looked after (pre 18)	63	651	491	-161	140
	Adoption - (Post 18)	4				
Foster Care Total		684	13,814	12,509	-1,305	1,051
Non-Bristol Residential	Out of Authority	36	5,345	5,767	422	3,102
	Parent & Baby Unit	5	704	608	-95	2,160
	ESA - Looked after (Pre 18)	8	750	1,313	563	2,424
	ESA- (Post 18)	2				
Non-Bristol Residential Total		52	6,798	7,689	890	7,687
Other	Secure Unit	1	160	182	22	4,661
Other Total		1	160	182	22	4,661
Permenancy	SGO/RO/CAO - (Pre 18)	523	3,628	4,750	1,122	174
	RO/SGO/CAO (Post 18)	2				
Permenancy Total		525	3,628	4,750	1,122	174
Grand Total of all placements	Grand Total	1,306	27,523	27,903	380	
Total for Teams and Other Services			36,360	35,151	-1,209	
Childrens Totals			63,883	63,054	-829	

*ESA = External Supported Accommodation

**SGO = Special Guardianship Order, RO = Resident Order, CAO = Child Arrangement Order

Adult Social Care

11.5. The outturn position for Adult Social Care shows an overspend of £1.127m against a revised budget of £149.65m. This is an adverse movement when compared to the forecast position at P10 of £1.127m.

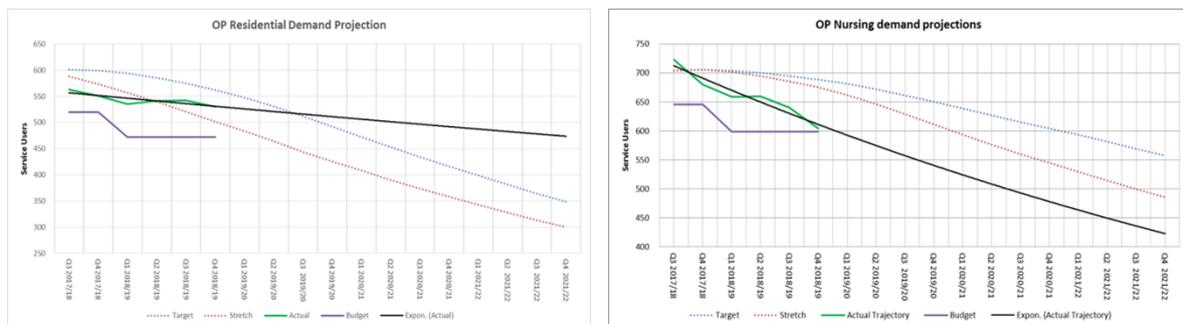
11.6. The main elements of the variance and movement from P10 are as follows, it had been forecast that further savings of £1.084m would be delivered between P10 and Outturn but actual savings amounted to £0.666m a shortfall of £0.418m; planned use of Disabled Facilities Grant (DFG) was £0.851m at P10 at P12 it was only possible to use £0.602m a shortfall of £0.249m; due to changes in the apportionment in costs between BCC and BNSSG CCG for those service users eligible for s117 funding income at P12 was £0.177m lower than forecast at P10; the level of debt write offs for bad debts was £0.171m worse than forecast at P10 and the net value of prior year underspends associated with the Better Care Fund was £0.202m higher than forecast at P10

11.7. The budget for 2018/19 included savings totalling £6.648m. During the course of 2018/19 a number of key projects commenced or changes were made

that started to make an impact on the way services are delivered to Adults who need support, these are outlined as follows:

- Bristol Rate set for placement of frail elderly in care homes from July 2018
- Implemented a range of practise changes that includes improvement to the front door and emphasising community solutions as opposed to a residential placement
- Set out new strategy for Home Care commissioning to secure market capacity that reset the price paid for homecare from September 2018 onwards
- Implemented from November 2018 new Homefirst/Reablement service to improve hospital discharge flows and support a return to home with a smaller care package than without reablement.

11.8. The graphs below demonstrate that placement levels are reducing for both residential and nursing service users aged 65+ and they are projected to continue over the next two years.



The Bristol Rate is being achieved on 89% of occasions. Where the rate is not being achieved it is where the provider/home does not accept the rate and there are no alternative homes available.

Public Health (GF)

11.9. Public Health underspent by (£0.436m). Healthwatch underspent by (£0.157m), Safer Bristol underspent by (£72k), Substance Misuse Service identified an underspend of £0.197m. The large changes to the year-end budget and actuals arise from technical accounting requirements on the Hengrove Leisure Centre Private Finance Initiative contract.

Revised Budget	Outturn Expenditure	Outturn Variance	Movement from P10
£25.8m £25.8m in P10	£21.8m £25.5m in P10	(£4.0m) (£0.3m) in P10	(£3.7m)

11.10. Most of the £4m underspend is slippage, with £3.1m in the schools programme and underspends across the rest of the programme.

Growth and Regeneration

Revised Budget	Outturn	Outturn Variance	Movement from P10
£70.5m £57.3m in P10 P12 ↓	£69.0m £57.1m in P10 ↓	(£1.5m) (£0.2m) in P10 ⇒	(£1.3m)

11.1. The Growth and Regeneration Directorate had an overall net Revenue budget of **£70.42m**. The reported year end position is **£1.47m** underspend. This was higher than anticipated and is due to the following variations:

11.2. **Housing & Landlord Services £336k net underspend** – Underspend due to additional capitalisation staffing time on disabled facilities grant. The service has improved 1,290 private rented properties and helped over 2,500 disabled residents during 2018-19.

11.3. **Economy of Place £681k net overspends** – The main reason are the enabling costs incurred to facilitate future capital receipts (£287k) and consultancy work to enable funding from partners. Property services savings shortfall (£675k), Historical buildings income shortfall (£500k), offset by capital receipts contributions to revenue (£201k), savings in repairs and maintenance budget (£75k), additional income view rent reviews (£300k) & Street numbering (£210k), bottle yard (£93k) and staffing salary underspends, underspends against flood budget due to management review (£200k), as well as Redundancy compensation payment (£250k).

11.4. **Management of Place £1.68m net underspend** - Additional income following the introduction of Sunday/evening parking (£348k), New Bus Lane enforcement (£300k), Residents parking permit (£537k), and better debt recovery via new bailiff contract (£240k). There were also reduced expenditure as a result of staff vacancies (£352k). These were partially offset by shortfall in Car park income (£370k), and one-off spend on Bridges (£240k).

Capital

Revised Budget	Outturn Expenditure	Outturn Variance	Movement from P10
£69.4m £81.5m in P10	£49.7m £71.4m in P10	(£19.7m) (£10.1m) in P10	(£9.5m)

11.5. The Growth and Regeneration Directorate had an overall Capital budget of **£69.37m**. The reported year end position is **£19.68m** underspend also

representing a 72% delivery against target. The underspends are mainly due to project slippage in the following areas:

- 11.6. Sustainable Transport – Additional First Bus retrofits have been re-scoped due to delayed decisions regarding technical specifications. Long Ashton Park and Ride Land Purchase delayed as dispute continues over land value. Go Ultra Low City Scheme delayed due to complications in the tender process, re-design requirements due to electrical capacity issues and staffing resource issues. The fleet conversion is delayed as the vehicles cannot be brought in until charge points are in place, and these have been delayed due to issues with tenders.
- 11.7. Housing Strategy and Commissioning – Slippage in the delivery programme partly due to the schemes dependence on registered providers to facilitate the work in a time and manner that fits BCC profile.
- 11.8. Passenger Transport – Slippage due to reprioritisation of grant funding on some of the projects, delays in obtaining the necessary permissions to progress work
- 11.9. Cattle Market Road site re-development – Slippage due to the complicated site conditions discovered through surveys etc. Demolition work (which was delayed) has now started and will be completed in 19/20.
- 11.10. Innovation & Sustainability - OPCR 2 – Due to changes in the profile of spend which required a change request being submitted to WECA, the revised Grant offer was only issued after consideration and approval by the relevant committee. This has affected delivery in 18/19.
- 11.11. Energy services - Renewable energy investment scheme – Delays mainly due to service restructure which meant that a number of projects were put on hold. Also one project was delayed due to a change in specification.
- 11.12. Investment in parks and green spaces – Mainly due to staffing/capacity issues in year, as well as Some projects being delayed to the adverse public reaction to works and issues with the contactor – i.e. Stoke Park
- 11.13. Strategic Transport – Mainly due to Local Enterprise Zone (LEZ) slippage resulting from unforeseen ground conditions, clashes with uncharted services, integration of District Heating Main, design revisions required during bridge fabrication, and Revisions to lighting design
- 11.14. Colston Hall - Delays in preparing and executing the building contract with the main contractor has meant that the actual expenditure at year end did not meet forecast.
- 11.15. Bristol Operations Centre - Phase 2 - The key reason for the budget slippage in 2018-19 was due to an early closure of the SMART City Initiative that was led by Deloitte.

Gross expenditure by Programme	
PL05	Sustainable Transport
PL30	Housing Strategy and Commissioning
PL02	Passenger Transport
PL11A	Cattle Market Road site re-development
GR06	Innovation & Sustainability - OPCR 2
PL18	Energy services - Renewable energy investment scheme
NH02	Investment in parks and green spaces
PL04	Strategic Transport
PL24	Colston Hall
NH06A	Bristol Operations Centre - Phase 2
Other schemes	

Budget	Outturn	Variance
12,739	8,009	(4,730)
9,454	6,105	(3,349)
2,131	385	(1,747)
11,021	9,490	(1,531)
1,500	71	(1,429)
2,772	1,634	(1,138)
1,902	788	(1,114)
9,250	8,570	(680)
3,325	2,715	(610)
905	392	(513)
54,998	38,157	(16,841)
14,370	11,529	(2,841)

Total - Growth and Regeneration

69,368 49,686 (19,682)

Resources

Revised Budget	Outturn	Outturn Variance	Movement from P10
£50.3m in P10	£51.1m in P10	£0.7m in P10	
P12 £51.9m ↓	£50.8m ↓	(£1.2m) ⇒	(£1.9m)

11.16. Resources directorate underspent their budget was £1.2m at year end, this was a movement from the previous forecast of just under £2m, this was driven by additional income during the final quarter of the year and also a reduction in prudential borrowing charges. During the year the overall Directorate budget was also reduced by £0.6m to support the pressures within People directorate.

11.17. Digital Transformation - underspend is being reported at year-end.

11.18. Finance - Housing Benefit - "Local Authority Error Overpayment" is caused by a mistake by the Council or an administrative delay and there is a risk that the council cannot claim back the whole amount. If following audit our error rate is less than 0.48% of the total amount of our claim we can receive 100% subsidy back. Between 0.48% and 0.54%, 40% is paid back to us and if the error rate is 0.54% or above, no subsidy is paid on any of the overpayments. Due to increase monitoring of accuracy and response times the audited error level was below the threshold and 100% subsidy could be claimed.

11.19. The above is offset by overspends within Facilities Management relating to delayed delivery of planned savings were offset by underspends across other areas within Resources.

Capital

Revised Budget	Outturn Expenditure	Outturn Variance	Movement from P10
£8.9m in P10	£6.7m in P10	(£2.1m) in P10	
£8.9m	£4.5m	(£4.4m)	(£2.2m)

Other Budgets

11.20. The main expenditure in this area is capital financing, borrowing costs and cross council expenditure such as insurance. At year end it also reflects any movement to and from reserves.

11.21. The underspend on the capital programme resulted in lower capital financing costs and meant the Council weren't required to take out the additional planned borrowing. This underspend was offset against additional provisions required at year end against future liabilities.

11.22. The Council received an additional £5.0m in section 31 grants to compensate for loss of business rates from mandatory business rates relief awarded during the year. Confirmation of the errors, and their impact on the Council's income, was notified too late for budget setting, with arrangements for final adjustments confirmed in April 2018. This was reported to Cabinet in conjunction with the first monitoring report of the financial year in September.

Ring-fenced Accounts

Housing Revenue Account

Revised Budget	Outturn Expenditure	Outturn Variance	Movement from P10
£0.0m in P10	(£9.7m) in P10	(£9.7m) in P10	
£0.0m ⇒	(£8.3m) ↓	(£8.3m) ↓	£1.4m

11.23. For the financial year 2018/19 the Housing Revenue Account has reported a surplus of £8.3m which must be retained within the ring fenced HRA for which there is a long term business plan subject to regular review. The main reasons for the movement of £1.4m from the P10 forecast are set out below.

Income

11.24. The rent income received was greater than budgeted by £1m due to more properties being successfully relet at target rents. This was partially offset by the number of voids being higher than budgeted, although void days were still lower than in the previous year.

Repairs and Maintenance

11.25. Repairs and maintenance were underspent by almost £3m, this was due to: the poor performance by a contractor whose contract was subsequently terminated contributing to an underspend in response repairs of £1.1m; underspends in the internal work force due to staff turnover, and a reduction in

the Fleet charge due to the fleet replacement programme not being completed. The movement from the P10 forecast position was due to more relet repairs being treated as revenue than forecast previously, and higher exit costs arising from terminating the contract than forecast.

Supervision and Management

11.26. The outturn position for Supervision and Management was £1m under initial budget mainly due to a review of recharges from the General Fund. The budgets were greater than the charges received.

Rent, rates and other charges

11.27. There was a saving on the budget relating to council tax on voids budget. This was due to reduced number of voids and an improved way of Housing working with Council Tax to review these costs.

Depreciation, revenue funded capital (CERA), interest payable and bad debt provision

11.28. The CERA budget shows an underspend due to: slippage of the capital programme into future years the funding of the capital programme changed from the original plan and CERA was used rather than using right to buy receipts or reserves.

11.29. The level of bad debt write offs were less than budgeted as it had been anticipated that Universal Credits system was to be rolled out quicker than it actually did.

Capital

Revised Budget	Outturn Expenditure	Outturn Variance	Movement from P10
£39.5m in P10	£36.6m in P10	(£2.9) in P10	
£39.5m	£36.7m	(£2.8m)	(£0.1)

11.30. The capital programme for the HRA is a five year rolling programme within a thirty year business plan – hence if projects are delayed then the work will still be required to take place in the following year. The capital expenditure was lower than originally planned due to: a tender return for investment in blocks being less than envisaged; delays in the tendering process for several projects due to: procurement delays, legal delays in preparing contract documents, resourcing issues, and changes to procurement processes. Savings were achieved on procurement of some contracts and tenders whilst the Blocks Rewire tender was slow to market due to procurement resource issues and new electrical engineer. There were also some further contract start dates delayed; capitalised works reclassified as New Build costs; and the New Build programme was ahead of schedule (but not planned to be over the total scheme budget).

Dedicated Schools' Grant (DSG)

Table 12: Summary DSG position 2018/19 Period 12 (All figures in £000s)

	b/f	Funding 2018/19	Actual Period 12 (Outturn) 2018/19	In-year variance	Cumul- ative Carry- forward 2018/19	P10 Carry- forward 2018/19	Moveme nt since Period 10
Schools Block		253,423	251,862	-1,561	-1,561	-1,438	-123
De-delegation	-357		-57	-57	-414	-357	-57
Schools Central Block		2,262	2,245	-17	-17	-14	-3
Early Years	-500	36,802	36,187	-615	-1,115	-953	-162
High Needs Block	2,055	55,454	54,544	-910	1,145	1,265	-120
Funding	-182	-347,941	-347,759	182			
Total	1,016		-2,978	-2,978	-1,962	-1,497	-465

NB, to be consistent with the figures reported to Schools Forum, this summary includes £165m for mainstream academies and £9m for High Needs recouped by the ESFA.

11.31. **Schools Block (-£1.561m cumulative underspend).** Combination of excess recoupment, dating back to 2016, reimbursed (-£1.438m), an underspend on the Growth Fund of -£98k and some modest variances arising from recoupment calculations of -£25k.

11.32. **De-delegation (-£0.414m cumulative underspend).** The majority of this underspend is attributable to Schools In Financial Difficulty, which has not had any new funding added to it for 2019/20 because of the availability of unspent monies from previous years. The remainder is minor underspends on the trades union services. This is set out in Table 13.

Table 13: Outturn for de-delegated items 2018/19

	Brought forward 1.4.18 £'000	In-year movement £'000	Carry forward 31.3.19 £'000
Schools In Financial Difficulty	(290)	(44)	(334)
TU Facility Time	(72)	(12)	(84)
Health & Safety Roving Reps.	5	(1)	4
De-delegated Services	(357)	(57)	(414)

11.33. **School Central Block (-£17k cumulative underspend).** A modest underspend of £14k in the Schools Forum budget with the balance (£3k) in Combined Services.

11.34. **Early Years (£1.115m cumulative underspend).** The final analysis of the January 2019 pupil census was not available until very late in the financial year. It confirmed expectations that participation levels were at least at the level of January 2018; in the end participation overall was up by 1.5%.

11.35. **High Needs Block (£1.145m cumulative overspend).** The outturn for 2018/19 was £0.120m better than that reported at Period 10 and the service underspent against the available in-year funding by £0.910m. The cumulative deficit is an improvement on the position at the end of 2017/18 because of that in-year underspend.

11.36. **Funding (Nil variance)** The funding for 2018/19 includes £4.1m from the General Fund as a one-off contribution to support the PFI Affordability Gap. It includes the impact of the final Early Years DSG adjustment for 2017/18 and the notified entitlements to DSG for 2018/19 plus the estimated amount of additional 2018/19 Early Years DSG to be received in summer 2019.

11.37. **Attribution of Year-end balances** At Schools Forum on 15th May 2019, the proposed reattribution of balances set out in Table 14 was agreed.

Table 14 Proposed amendments to DSG year-end balances 2018/19 agreed by Schools Forum (15th May 2019)

	Carry-forward 2018/19 £m	Transfer £m	Amended balance £m	Comment
Schools Block	(1.561)	1.561	0	Much of the £1.561m arose from a windfall reimbursement where the ESFA had recouped too much from the Local Authority. Transfer the unspent balance to the High Needs Block.
De-delegation	(0.414)	0	(0.414)	Earmarked for Schools in Financial Difficulties and Trade Union activities for LA maintained schools, so leave it where it is.
Schools Central Block	(0.017)	0.017	0	Minor underspend not required in the Central School Services Block. Transfer to High Needs Block.
Early Years	(1.115)	0	(1.115)	No transfer of Early Years balances. £0.517m for already agreed for Maintained Nursery School Supplement 2019/20, plus £0.208m to allow increase on SEN rates as agreed following consultation (as a one-off, pending outcomes of top-up review – see separate Early Years report) plus £0.390m unallocated.
High Needs Block	1.145	(1.578)	(0.433)	Start the year with a £0.4m surplus balance through transfers from other blocks, reducing the forecast for 2019/20 from £3.6m overspend to £1.6m overspend.
Total	(1.962)	0	(1.962)	No impact on the overall position; all changes are between blocks.

11.38. The high level strategy for dealing with the funding pressures in the High Needs Block, reported in the January 2019 meeting of Schools Forum is:

- Lobbying central government for more High Needs funding;
- Transforming the High Needs service through the High Needs Transformation Programme via stakeholder engagement and public consultation; and

- Transfers of funding from different blocks or funds to support the High Needs budget.

11.39. The proposed reallocation of balances would acknowledge existing commitments and transfer the rest to the High Needs Block. Schools Forum may take a different view and if this can be articulated it can be taken into account in the proposals on this to be considered by Cabinet on 4th June 2019

School Balances

11.40. Overall schools balances have improved by £3m on revenue and £1m on capital. Table 15 has the summary position. Part of this improvement has been because of the efforts made by schools to keep their budgets under control.

Table 15: Maintained School (and Children's Centre) balances 2018/19

	Revenue b/f 2018/19 £'000	Revenue Movement 2018/19 £'000	Revenue c/f 2018/19 £'000	Capital b/f 2018/19 £'000	Capital Movement 2018/19 £'000	Capital c/f 2018/19 £'000
Nursery	1,544	-249	1,295	-321	17	-304
Primary	-5,732	-1,009	-6,741	-2,035	-651	-2,686
Secondary	-260	-332	-592	-50	54	4
Special	-682	-796	-1,478	-1,126	-285	-1,411
Hospital	3	-266	-263	-1	-13	-13
Children's Centre	274	-344	-70	11	-37	-26
Total	-4,853	-2,996	-7,849	-3,522	-914	-4,436

11.41. 17 out of 87 LA maintained schools and academies started the year with a revenue deficit. By the end of the year, 15 out of 78 LA maintained schools had deficits to carry forward into 2019/20. Table 6 has the summary position.

Table 16 Numbers of schools with revenue b/f and c/f surpluses and deficits for 2018/19

	Deficit April 2018	Surplus April 2018	Total	Deficit March 2019	Surplus March 2019	Total	Change in deficit	Change in surpluses	Change in total
Nursery	7	5	12	8	4	12	1	-1	0
Primary	5	52	57	4	45	49	-1	-7	-8
Secondary	1	2	3	0	2	2	-1	0	-1
Special	1	6	7	1	6	7	0	0	0
Hospital	1	1	2	0	2	2	-1	+1	0
Children's Centre	2	4	6	2	4	6	0	0	0
Total	17	70	87	15	63	78	-2	-7	-9

11.42. Part of this improvement has been the result of a small number of schools becoming academies where their accumulated deficit remains with the Local Authority when they become sponsored. In those circumstances, the Local Authority has no option but to write-off the resulting deficit. At the end of 2018/19

there are deficits to be written off against the Council's budget (i.e. non-DSG funds) of £1.523m.

11.43. Maintained schools can apply to become academies (optional conversion) or they can be instructed to become academies by the Secretary of State (sponsored conversion).

11.44. **Optional Conversion** - Where a school chooses to convert to an Academy, the LA receives written notification from the ESFA. The ESFA issue an instruction to prepare a closing balance at the point of conversion, agree with the school and transfer to the school. Where there is a deficit on conversion, the school may request that this is recouped through the GAG (General Annual Grant) funding, in which case the LA advise the ESFA, who in turn pay the LA. The ESFA require the closing balances to be agreed and transferred within 4 months of conversion.

11.45. **Sponsored Conversion** - Where a school is considered vulnerable, the ESFA can enforce an Academy Order, the LA will prepare a closing balance at the point of conversion. A surplus balance will be transferred to the school, and a deficit balance will be retained by the LA.

11.46. During 2018/19 there were 6 optional conversions. 5 of these converting schools had surplus balances amounting to £0.475m in aggregate. 1 of the converting schools had a deficit balance of £0.129m which the academy inherited. There were 3 sponsored conversions (plus one from the previous year which had not been fully resolved by year-end). The four sponsored conversions each had deficit balances amounting to £1.523m in aggregate.

11.47. The improvement in the numbers and size of school balances is not entirely due to academy conversions. It is evident that many individual schools and governing bodies have successfully improved their financial positions.

Public Health

11.48. In 2018/19 the public health grant was reduced by 2.6% compared to 17/18. In setting the budget there was an assumed drawdown from reserves of £1.8m.

11.49. During the year the service undertook a thorough financial review of all services to ensure that delivery is brought within this reducing budget envelope, reflecting key priorities. A restructure has been completed and costs have reduced during the year which are reflected in the year end drawdown of £1.5m from the ring-fenced reserve.

	Budget £m	Outturn £m	Variance £m
Public Health	32.5	34.0	(1.5)

2018/19 Outturn - Summary

	2018/19 - Year to date			2018/19 - Period 10			Comparison to Period 10		
	Revised Budget	P12 Outturn	Variance	Revised Budget	Forecast	Variance	Movement in Budget	Movement in Forecast	Movement in Variance
	£000s			£000s			£000s		
People									
Adult Social Care	149,881	151,008	1,127	149,649	149,649	0	232	1,359	1,127
Children and Families Services	63,883	63,054	(829)	63,144	63,161	17	739	(107)	(846)
Educational Improvement	1,526	963	(563)	17,099	16,720	(380)	(15,573)	(15,757)	(183)
Public Health	1,517	1,500	(17)	31	31	0	1,486	1,469	(17)
Public Health - General Fund	470	33	(437)	3,241	3,052	(188)	(2,771)	(3,019)	(249)
Total People	217,277	216,558	(719)	233,164	232,613	(551)	(15,887)	(16,055)	(168)
Resources									
Digital Transformation	12,563	12,352	(211)	12,490	12,293	(198)	73	59	(13)
Legal and Democratic Services	6,360	6,323	(37)	6,286	6,264	(23)	74	59	(14)
Finance	10,993	10,278	(715)	10,733	10,607	(126)	260	(329)	(589)
HR, Workplace & Organisational Design	11,598	11,112	(486)	10,516	10,319	(197)	1,082	793	(289)
Policy, Strategy & Partnerships	2,616	2,581	(35)	2,616	2,616	0	(0)	(35)	(35)
Commercialisation & Citizens	7,807	8,121	314	7,673	8,982	1,309	134	(861)	(995)
Total Resources	51,937	50,767	(1,170)	50,315	51,081	766	1,622	(314)	(1,936)
Growth & Regeneration									
Housing & Landlord Services	10,893	10,556	(337)	11,465	11,297	(169)	(572)	(741)	(168)
Development of Place	1,524	1,390	(134)	1,476	1,252	(225)	48	138	91
Economy of Place	15,082	15,763	681	3,268	3,643	375	11,814	12,120	306
Management of Place	42,980	41,299	(1,681)	41,117	40,928	(189)	1,863	371	(1,492)
Total Growth & Regeneration	70,479	69,008	(1,471)	57,327	57,120	(207)	13,152	11,888	(1,264)
SERVICE NET EXPENDITURE	339,693	336,333	(3,360)	340,806	340,814	8	(1,113)	(4,482)	(3,368)
Corporate Expenditure	39,817	40,768	951	22,666	21,954	(711)	17,151	18,814	1,662
Dedicated Schools Grant	(7,062)	(7,062)	0	0	0	0	(7,062)	(7,062)	0
TOTAL REVENUE NET EXPENDITURE	372,448	370,039	(2,409)	363,472	362,769	(703)	8,976	7,270	(1,706)
Corporate Revenue Funding	(372,448)	(373,258)	(810)	(363,472)	(363,472)	0	(8,976)	(9,786)	(810)
TOTAL	(0)	(3,219)	(3,219)	0	(703)	(703)	(0)	(2,516)	(2,516)
HOUSING REVENUE ACCOUNT SUMMARY									
	2018/19 - Year to date			2018/19 - Period 10			Comparison to Period 10		
	Revised Budget	Net Expenditure	Variance	Revised Budget	Forecast	Variance	Movement in Budget	Movement in Forecast	Movement in Variance
	£000s			£000s			£000s		
Housing Revenue Account									
Strategy, Planning & Governance	(101,599)	(103,021)	(1,422)	(101,599)	(103,463)	(1,864)	0	442	442
Responsive Repairs	26,143	24,552	(1,591)	26,143	23,595	(2,549)	0	958	958
Planned Programmes	18,741	17,122	(1,619)	18,741	17,124	(1,617)	0	(2)	(2)
Estate Management	8,757	8,145	(611)	8,757	8,664	(93)	0	(519)	(519)
HRA - Funding & Expenditure	12,116	9,679	(2,437)	12,116	11,364	(752)	0	(1,684)	(1,684)
HRA - Capital Financing	11,200	10,160	(1,041)	11,200	8,369	(2,831)	0	1,790	1,790
HRA - Year-end transactions	24,641	25,015	373	24,641	24,641	0	0	373	373
Total Housing Revenue Account	0	(8,348)	(8,348)	0	(9,706)	(9,706)	0	1,359	1,359

Mitigated Savings

1.1 The tables below document all the savings in category C and, D and E as noted in Appendix A1, where there has been non-delivery during 2018/19 of the saving as originally described and approved by Full Council. In many cases Directors identified mitigations within their services. If these savings continue to be unachievable in the future the Council will need to find other savings to compensate.

1.2 Table 1 below shows the savings which were delivered in a different way to the original proposal on an on-going basis but within the same relevant services (category C).

1.3 Table 2 outlines the savings that weren't delivered during 2018/19 and the mitigation that was put in place to ensure delivery of a balanced budget.

Table 1: Breakdown of savings delivered on an on-going basis in a different way to originally proposed

Ref	Saving Description	Savings (£m)
BE3	Restructure admin and business support teams	0.665
BE8	Best value contracts	0.975
BW02	Bristol Waste Income	0.050
FP01	Reduce third-party payments	0.064
FP18	Home To School Travel	0.180
		1.934

Table 2: Savings that weren't delivered during 2018/19 as originally described

Directorate	Ref	Description	£m	Category	Mitigation	Action taken/ Medium Term Impact
Resources	BE23	Register Office savings	0.070	D	One off mitigation using in year service area underspend to plug the 18/19 shortfall	Full saving is expected to be delivered in 19/20 once restructure and technology enablers are in place.
Resources	BE58	Review and reduce operating costs for the Lord Mayor's chapel	0.023	E	Resources directorate underspend	Full saving is likely not to be deliverable in 19/20.
Resources	BE6	Workforce policy and conditions review	0.560	E	Corporate Contingency one-off mitigation	From 19/20 onwards savings will be delivered.
Resources	IN23	More income from commercial opportunities	0.050	E	Resources overall 18/19 underspend.	Commercialisation & Innovation Working Group has a pipeline of savings which is being shaped up which will contribute to this saving.
Resources	BE2	*17/18 Rollover* Facilities Management Savings	0.673	E	Resources overall 18/19 underspend	Full budget review ongoing for FM. A number of proposals that were due to be delivered in 18/19 have yet to be delivered/completed therefore confidence that some savings will be delivered in 18/19.

						Overall underlying budget pressures continue.
Resources	BE7	Organisational redesign including the council's senior management structures	0.248	E	Corporate Contingency one off mitigation	Proposal is to identify the shortfall on an ongoing basis within the ACE Directorate to replace the proposed post saving that wasn't removed.
Growth and Regeneration	FP36	Identify alternative funding to continue to support people in Council Housing	0.210	D	One off shortfall covered in-year by use of flexible homelessness grant	Next year's saving to be delivered via new approach to temporary accommodation.
Growth and Regeneration	IN26	Increase office rental capacity at Filwood Green Business Park)	0.022	D	Within Economy service - budget management	Service still intends to expand Filwood green business park in 19/20.
Growth and Regeneration	FP38	Generate additional income from our historic assets	0.200	E	G&R 18/19 underspend	This is a partial rollover from 17/18 and continues to be at risk. There is no clear plan to deliver the saving at present. Discussions ongoing about where the saving best sits in the organisation.
Growth and Regeneration	FP38	Review our approach to managing and optimising the value of public sector land and buildings	0.080	D	One-off property windfalls (within service area)	Plans in place across property to deliver continued savings into 19/20.
Growth and Regeneration	IN30	Income from Can Do Bristol	0.010	D	Neighbourhood Partnerships restructuring (FP09) is	19/20 savings will revert to exploring income from Can Do Bristol platform.

					delivering early in 18/19 therefore providing a one off mitigation for the 18/19 saving	
People	FP18	Home To School Travel	0.045	E	ACE Directorate Underspend (One off)	Project in place to replace the enabling technology and improve management info to support more efficient service delivery. Consultant review also in place exploring savings opportunities.
People	FP33	Better Lives Programme	1.361	E	ACE Directorate Underspend	Programme already aiming to deliver significant savings in 19/20 therefore inclusion of rollover savings may present a further challenge. To continue to be monitored closely.
People	FP40	New funding models for city-wide public health services	1.800	D	Corporate Underspend (One off)	Savings for 19/20 planned from re-commissioning and completion of restructure.
			5.352			

2018/19 Budget Reconciliation

	Budget per Full Council	Management Restructure	Allocation of Centrally Held Funding	Additional income	Supplementary Estimate	PFI/Capital Financing	One-off Specific Funding	Contribution to Reserves	Year End Collection Fund	Other Misc Adjustments	Revised Outturn Budget
£000s											
People											
Strategic Commissioning & Commercial Relations	980	(980)	0	0	0	0	0	0	0	0	0
Adult Social Care	130,520	0	8,391	0	11,100	0	0	0	0	(130)	149,881
Children and Families Services	60,137	3,005	0	0	0	(74)	1,052	(230)	0	(8)	63,883
Educational Improvement	10,392	409	4,100	0	1,600	(17,750)	1,718	0	0	1,057	1,526
Management - People	2,380	(2,380)	0	0	0	0	0	0	0	0	0
Public Health - General Fund	0	3,438	0	0	(380)	(2,821)	0	0	0	233	470
Public Health	0	31	0	0	0	0	1,486	0	0	(0)	1,517
Total People	204,408	3,523	12,491	0	12,320	(20,644)	4,256	(230)	0	1,152	217,277
Resources											
Digital Transformation	12,463	0	0	0	(50)	(257)	0	0	0	406	12,563
Legal and Democratic Services	6,206	0	0	0	(93)	0	0	0	0	247	6,360
Finance	3,109	7,639	0	0	(125)	0	0	0	0	370	10,993
HR, Workplace & Organisational Design	3,344	7,143	0	0	(230)	0	1,082	0	0	259	11,598
Policy, Strategy & Partnerships	0	2,832	0	0	(80)	0	0	0	0	(136)	2,616
Resource Transformation	4,489	(4,489)	0	0	0	0	0	0	0	0	0
Commercialisation & Citizens	0	7,033	0	0	0	(211)	0	0	0	986	7,807
Total Resources	29,611	20,158	0	0	(578)	(468)	1,082	0	0	2,132	51,937
Neighbourhoods / Communities											
Citizen Services	11,597	(11,597)	0	0	0	0	0	0	0	0	0
Waste	28,987	(28,987)	0	0	0	0	0	0	0	0	0
Neighbourhoods & Communities	10,868	(10,868)	0	0	0	0	0	0	0	0	0
Public Health	31	(31)	0	0	0	0	0	0	0	0	0
Women's Commission	5	(5)	0	0	0	0	0	0	0	0	0
Public Health - General Fund	719	(719)	0	0	0	0	0	0	0	0	0
Housing Options	11,437	(11,437)	0	0	0	0	0	0	0	0	0
Total Resources	63,644	(63,644)	0	0	0	0	0	0	0	0	0
Growth & Regeneration											
Property	(3,428)	3,428	0	0	0	0	0	0	0	0	0
Planning	728	(728)	0	0	0	0	0	0	0	0	0
Transport	5,759	(5,759)	0	0	0	0	0	0	0	0	0
Economy	6,455	(6,455)	0	0	0	0	0	0	0	0	0
Energy	2,601	(2,601)	0	0	0	0	0	0	0	0	0
Housing & Landlord Services	0	11,437	0	0	0	0	0	(627)	0	83	10,893
Development of Place	0	1,570	0	0	0	(294)	0	0	0	249	1,525
Economy of Place	0	3,124	0	0	0	(303)	11,822	0	0	439	15,082
Management of Place	0	43,529	0	0	0	(1,265)	3,000	(1,109)	0	(1,175)	42,980
Total Growth & Regeneration	12,114	47,545	0	0	0	(1,862)	14,822	(1,736)	0	(404)	70,480
City Director											
Policy, Strategy & Communications	2,832	(2,832)	0	0	0	0	0	0	0	0	0
Executive Office Division a	2,654	(2,654)	0	0	0	0	0	0	0	0	0
Total Growth & Regeneration	5,487	(5,487)	0	0	0	0	0	0	0	0	0
SERVICE NET EXPENDITURE	315,264	2,095	12,491	0	11,742	(22,974)	20,160	(1,966)	0	2,881	339,694
Corporate Expenditure	39,385	(2,096)	(12,491)	8,750	(11,742)	27,057	(15,569)	1,966	7,436	(2,879)	39,817
Dedicated Schools Grant	0	0	0	0	0	(4,084)	(2,978)	0	0	(0)	(7,062)
TOTAL REVENUE NET EXPENDITURE	354,649	(0)	0	8,750	0	(0)	1,613	0	7,436	1	372,449
Corporate Revenue Funding	(356,262)	0	0	(8,750)	0	0	0	0	(7,436)	0	(372,448)
	(1,613)	(0)	0	0	0	(0)	1,613	0	0	1	1

Capital Outturn Summary Report for period 201812 - Summary by Programme

Gross expenditure by Programme	Current Year (FY2018)				Performance to budget	Period 201810			Comparison to Period 201810
	Budget	Outturn	Variance	Outturn		Budget	Forecast Outturn	Variance	
	£000s				%	£000s			£000s
1 - People									
PE01 School Organisation/ Children's Services Capital Programme	20,228	17,430	(2,799)	86%		20,228	19,347	(882)	(1,917)
PE03 Schools Devolved Capital Programme	1,800	1,521	(279)	84%		1,800	1,800	(0)	(279)
PE04 Non Schools Capital Programme	795	609	(187)	77%		795	795	0	(187)
PE05 Children & Families - Aids and Adaptations	330	168	(162)	51%		330	351	21	(183)
PE06 Children Social Care Services	492	431	(61)	88%		492	492	0	(61)
PE06B Adult Social Care Services	348	0	(348)	0%		348	0	(348)	0
PE07 Extra care Housing	1,624	1,494	(129)	92%		1,624	1,519	(104)	(25)
PE08 Care Management/Care Services	230	152	(78)	66%		230	290	60	(138)
PE09 Strengthening Families Programme	0	1	1			0	923	923	(922)
Total 1 - People	25,848	21,806	(4,042)	84%		25,848	25,517	(330)	(3,712)
2 - Resources									
NH08 Omni Channel Contact Centre (ICT System development).	255	249	(5)	98%		255	255	0	(5)
PL21 Building Practice Service - Essential H&S	2,654	1,622	(1,033)	61%		2,632	2,031	(601)	(432)
PL27 Vehicle Fleet Replacement Programme	2,132	416	(1,716)	20%		2,132	1,063	(1,069)	(647)
RE01 ICT Refresh Programme	220	75	(145)	34%		220	180	(40)	(105)
RE02 ICT Development - HR/Finance	1,177	894	(283)	76%		1,177	974	(203)	(80)
RE03 Future State Assessment (FSA) - ICT Development	1,147	742	(405)	65%		1,147	943	(205)	(201)
RE04 Bristol Workplace Programme	483	378	(105)	78%		483	459	(24)	(81)
RE05 Mobile Working for Social Care (Adults & Children)	817	131	(685)	16%		817	817	0	(686)
Total 2 - Resources	8,885	4,507	(4,378)	51%		8,863	6,720	(2,142)	(2,236)
4 - Growth & Regeneration									
GR06 Innovation & Sustainability - OPCR 2	1,500	71	(1,429)	5%		1,500	1,500	0	(1,429)
NH01 Libraries for the Future	114	31	(83)	27%		114	35	(79)	(4)
NH02 Investment in parks and green spaces	1,902	788	(1,114)	41%		1,902	1,212	(689)	(425)
NH04 Third Household Waste Recycling and Re-use Centre	46	46	0	100%		46	46	0	0
NH06 Bristol Operations Centre - Phase 1	693	451	(242)	65%		693	693	0	(242)
NH06A Bristol Operations Centre - Phase 2	905	392	(513)	43%		900	900	0	(513)
NH07 Private Housing	3,603	3,541	(62)	98%		3,574	3,574	(0)	(62)
PL01 Metrobus	3,010	3,452	443	115%		3,010	3,010	(0)	443
PL02 Passenger Transport	2,131	385	(1,747)	18%		2,097	420	(1,677)	(70)
PL03 Residents Parking Schemes	1,016	963	(53)	95%		1,016	1,016	0	(53)
PL04 Strategic Transport	9,250	8,570	(680)	93%		8,841	6,720	(2,121)	1,441
PL05 Sustainable Transport	12,739	8,009	(4,730)	63%		12,625	10,210	(2,415)	(2,315)
PL08 Highways & Drainage Enhancements	3,582	3,579	(3)	100%		3,582	3,582	0	(3)
PL09 Highways infrastructure - bridge investment	250	160	(90)	64%		250	250	0	(90)
PL09A Highways infrastructure - Chocolate Path	580	358	(222)	62%		580	580	0	(222)
PL10 Highways & Traffic Infrastructure - General	7,767	7,632	(136)	98%		7,767	7,801	34	(169)
PL10B Highways & Traffic - Street Lighting	335	4	(331)	1%		335	40	(295)	(36)
PL11 Bristol Arena & Temple Meads East Regeneration	(11,167)	(11,484)	(317)	103%		655	655	0	(317)
PL11A Cattle Market Road site re-development	11,021	9,490	(1,531)	86%		11,021	11,021	0	(1,531)
PL11B Temple Meads Master Plan	0	(0)	(0)			610	610	0	(0)
PL12 Filwood Broadway	1	15	14	2242%		1	15	14	0
PL13 Filwood Green Business Park	200	42	(158)	21%		200	200	0	(158)
PL14 Bristol Legible City Scheme	251	268	17	107%		251	251	0	17
PL15 Environmental Improvements Programme	192	73	(118)	38%		306	213	(93)	(26)
PL16 Economy Development - ASEA 1 Flood Defences	168	127	(41)	76%		168	168	0	(41)
PL17 Resilience Fund (£1m of the £10m Port Sale)	380	348	(32)	92%		530	501	(29)	(3)
PL18 Energy services - Renewable energy investment scheme	2,772	1,634	(1,138)	59%		2,346	2,509	163	(1,302)
PL18A Energy Services - Bristol Heat Networks expansion	293	510	217	174%		293	297	4	213
PL18B Energy Services - School Efficiencies	158	193	35	122%		158	0	(158)	193
PL18C Energy Services - City Leap	290	0	(290)	0%		763	182	(581)	291
PL18D Energy Services - EU Replicate Grant	500	39	(461)	8%		500	500	0	(461)
PL20 Strategic Property	575	233	(341)	41%		575	524	(51)	(291)
PL22 Strategic Property - Investment in existing waste facilities	289	101	(188)	35%		289	289	0	(188)
PL23 Strategic Property - Temple St	164	145	(19)	89%		164	209	45	(63)
PL24 Colston Hall	3,325	2,715	(610)	82%		3,325	2,933	(392)	(218)
PL26 Old Vic & St George's	498	498	0	100%		498	498	0	0
PL28 Bottleyard Studios	302	168	(134)	56%		302	168	(134)	(0)
PL30 Housing Strategy and Commissioning	9,454	6,105	(3,349)	65%		9,454	7,809	(1,644)	(1,705)
PL30A Housing Programme delivered through Housing Company	260	35	(225)	13%		260	260	0	(225)
PL32 Western Harbour Design Development	20	0	(20)	0%		20	20	0	(20)
Total 4 - Growth & Regeneration	69,368	49,686	(19,682)	72%		81,520	71,421	(10,098)	(9,584)
6 - Housing Revenue Account									
HRA1 Planned Programme - Major Projects	9,855	9,539	(316)	97%		9,855	9,599	(256)	(60)
HRA2 New Build and Land Enabling	12,175	13,200	1,025	108%		12,175	12,050	(125)	1,150
HRA3 Building Maintenance and Improvements	17,513	14,007	(3,507)	80%		17,513	14,968	(2,546)	(961)
Total 6 - Housing Revenue Account	39,544	36,746	(2,798)	93%		39,544	36,616	(2,927)	129
X - Corporate Funding & Expenditure									
CP01 Corporate Initiatives	16,743	16,797	55	100%		2,046	2,001	(45)	100
Total X - Corporate Funding & Expenditure	16,743	16,797	55	100%		2,046	2,001	(45)	100
Total Capital Expenditure	160,387	129,541	(30,846)	81%		157,819	142,276	(15,543)	(15,302)

Appendix A – 4

Capital Programme Re-profile

		Outturn Variance	2019	2020	2021	2022	2023	Total
1 - People								
PE01	School Organisation/ Children's Services Capital Programme	(2,799)	2,799	0	0	0	0	2,799
PE03	Schools Devolved Capital Programme	(279)	279	0	0	0	0	279
PE04	Non Schools Capital Programme	(187)	79	0	0	0	0	79
PE05	Children & Families - Aids and Adaptations	(162)	2	(13)	113	60	0	162
PE06	Children Social Care Services	(61)	61	0	0	0	0	61
PE06B	Adult Social Care Services	(348)	(1,102)	(1,385)	2,835	0	0	348
PE07	Extra care Housing	(129)	129	0	0	0	0	129
PE08	Care Management/Care Services	(78)	78	0	0	0	0	78
Total 1 - People		(4,042)	2,325	(1,398)	2,948	60	0	3,935
2 - Resources								
NH08	Omni Channel Contact Centre (ICT System development).	(5)	5	0	0	0	0	5
PL21	Building Practice Service - Essential H&S	(1,033)	1,031	0	0	0	0	1,031
PL27	Vehicle Fleet Replacement Programme	(1,716)	1,001	715	0	0	0	1,716
RE01	ICT Refresh Programme	(145)	145	0	0	0	0	145
RE02	ICT Development - HR/Finance	(283)	0	0	0	0	0	0
RE03	Future State Assessment (FSA) - ICT Development	(405)	352	0	0	0	0	352
RE04	Bristol Workplace Programme	(105)	0	0	0	0	0	0
RE05	Mobile Working for Social Care (Adults & Children)	(685)	685	0	0	0	0	685
Total 2 - Resources		(4,378)	3,219	715	0	0	0	3,934
4 - Growth & Regeneration								
GR06	Innovation & Sustainability - OPCR 2	(1,429)	1,429	0	0	0	0	1,429
NH01	Libraries for the Future	(83)	83	0	0	0	0	83
NH02	Investment in parks and green spaces	(1,114)	(1,176)	1,013	653	624	0	1,114
NH06	Bristol Operations Centre - Phase 1	(242)	0	0	0	0	0	0
NH06A	Bristol Operations Centre - Phase 2	(513)	513	0	0	0	0	513
NH07	Private Housing	(62)	62	0	0	0	0	62
PL01	Metrobus	443	(443)	0	0	0	0	(443)
PL02	Passenger Transport	(1,747)	1,747	0	0	0	0	1,747
PL03	Residents Parking Schemes	(53)	53	0	0	0	0	53
PL04	Strategic Transport	(680)	680	0	0	0	0	680
PL05	Sustainable Transport	(4,730)	4,730	0	0	0	0	4,730
PL08	Highways & Drainage Enhancements	(3)	3	0	0	0	0	3
PL09	Highways infrastructure - bridge investment	(90)	90	0	0	0	0	90
PL09A	Highways infrastructure - Chocolate Path	(222)	222	0	0	0	0	222
PL10	Highways & Traffic Infrastructure - General	(136)	136	0	0	0	0	136
PL10B	Highways & Traffic - Street Lighting	(331)	(15)	0	346	0	0	331
PL11	Bristol Arena & Temple Meads East Regeneration	(317)	0	0	0	0	0	0
PL11A	Cattle Market Road site re-development	(1,531)	1,531	0	0	0	0	1,531
PL13	Filwood Green Business Park	(158)	158	0	0	0	0	158
PL14	Bristol Legible City Scheme	17	83	87	(74)	(78)	(35)	(17)
PL15	Environmental Improvements Programme	(118)	118	0	0	0	0	118
PL16	Economy Development - ASEA 1 Flood Defences	(41)	41	0	0	0	0	41
PL17	Resilience Fund (£1m of the £10m Port Sale)	(32)	32	0	0	0	0	32
PL18	Energy services - Renewable energy investment scheme	(1,138)	1,138	0	0	0	0	1,138
PL18A	Energy Services - Bristol Heat Networks expansion	217	(217)	0	0	0	0	(217)
PL18B	Energy Services - School Efficiencies	35	(35)	0	0	0	0	(35)
PL18C	Energy Services - City Leap	(290)	0	0	0	0	0	0
PL18D	Energy Services - EU Replicate Grant	(461)	461	0	0	0	0	461
PL20	Strategic Property	(341)	(1,089)	1,430	0	0	0	341
PL22	Strategic Property - Investment in existing waste facilities	(188)	188	0	0	0	0	188
PL23	Strategic Property - Temple St	(19)	19	0	0	0	0	19
PL24	Colston Hall	(610)	1,043	0	(433)	0	0	610
PL28	Bottleyard Studios	(134)	134	0	0	0	0	134
PL30	Housing Strategy and Commissioning	(3,335)	(1,230)	(1,620)	(1,955)	3,140	5,000	3,335
PL30A	Housing Programme delivered through Housing Company	(225)	225	0	0	0	0	225
PL32	Western Harbour Design Development	(20)	0	0	0	0	0	0
Total 4 - Growth & Regeneration		(19,682)	10,714	910	(1,463)	3,686	4,965	18,812
6 - Housing Revenue Account								
HRA1	Planned Programme - Major Projects	(316)	0	0	0	0	0	0
HRA2	New Build and Land Enabling	1,025	0	0	0	0	0	0
HRA3	Building Maintenance and Improvements	(3,507)	0	0	0	0	0	0
Total 6 - Housing Revenue Account		(2,798)	0	0	0	0	0	0
X - Corporate Funding & Expenditure								
GR05	Strategic Property - Hawkfield Site	55	(55)	0	0	0	0	(55)
Total X - Corporate Funding & Expenditure		55	(55)	0	0	0	0	(55)
Total Capital Expenditure		(30,846)	16,203	227	1,485	3,746	4,965	26,626



Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE : 18 June 2019

TITLE	CCTV and Fibre hardware installation & maintenance		
Ward(s)	Bristol Citywide		
Author: Peter Anderson	Job title: Head of Service, Bristol Operations Centre		
Cabinet lead: Councillor Cheney	Executive Director lead: Colin Molton		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report:			
<ul style="list-style-type: none"> • This Report seeks approval to procure and let a new contract through a competitive OJEU tender process for the provision of ongoing maintenance, support and approved capital projects relating to the Council’s Fibre network, CCTV estate and associated equipment for a period of up to 7 years (5 years with the option to extend for a further 2 years and with an optional break clause in the early years). • The maximum contract value on the OJEU advert will be for £12m in order to enable a procurement vehicle with sufficient cover for future capital projects. However, this is not a guaranteed or committed spend or an exclusive contract. Spend on capital project would be subject to funds being made available and secured and specific work packages being agreed. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. In accordance with a previous Cabinet report dated 4th December 2017, capital funding of £2m for CCTV hardware upgrade and installation from analogue to new IP (digital) cameras was approved. This report approved: <ul style="list-style-type: none"> • An OJEU compliant procurement process to establish cost effective camera replacement and maintenance contract(s) • Implementation of a robust management contract for the city’s extensive fibre network asset upon which CCTV, Traffic Management and many of the council’s critical systems run. 2. The Council currently has a fibre installation and maintenance contract, which maintains the BNet network. 3. The new contract will be an enabler for future projects and will allow the Council to procure various strands of work under a single contract. It is recognised by stakeholders that having one supplier responsible for both CCTV and fibre services will have technical, regulatory and management benefits, because of the type of work involved. 4. The desired outcome is therefore to carry out one competitive OJEU tender process to ensure a compliant, integrated, well managed contract for CCTV and fibre. 5. Using historical spending trends over the last six years (£5.1m) and considering that future fibre investments 			

are likely, the contract threshold has been estimated at up to £12m. This should allow for ample capital projects as and when they are approved for fibre and CCTV to be commissioned under the new contract. Historical trends show that the majority of spend tends to be on capital projects linked to BNet, OPCR (Open Programmable City Region), Traffic and Highways, new camera and upgrades. If BNeT attracts funding for extensions, this contract will need to be utilised, so whilst we cannot guarantee this spend with a supplier and we are not committing to spend this value, there needs to a reasonably high ceiling value on the OJEU advert and subsequent awarded contract.

6. Current approved capital spend is £2m based on approved budgets across BCC for CCTV and fibre.
7. Current approved revenue spend is £1m over 7 years based on current revenue budgets across CCTV.
8. Discovery work for this contract has identified closer working with the Council's Street Lighting service, allowing for a break clause in the new contract that would provide the opportunity to take advantage of synergies in contractual responsibilities across the Management of Place Service (use of street furniture and erection of kit).

Cabinet Member / Officer Recommendations:

That Cabinet:

- Approve the procurement of a new contract for the provision of ongoing maintenance, support and approved capital projects relating to the fibre network and CCTV estate and associated equipment.
- Delegate authority to Executive Director of Growth & Regeneration in consultation with the Cabinet Member for Finance, and the Director of Finance, award and enter into a flexible contract with a minimum spend of £1m per annum and maximum value of £12m over the maximum term of 7 years.

Corporate Strategy alignment:

Aligns to:

Being Well Connected

- Improve physical and geographical connectivity; tackling congestion and progressing towards a mass transit system
- Reduce social and economic isolation and help connect people to people, people to jobs and people to opportunity.

Well-being

- Keep Bristol on course to be run entirely on clean energy by 2050 whilst improving our environment to ensure people enjoy cleaner air, cleaner streets and access to parks and green spaces.

City Benefits:

The new single contract will provide:

- A robust management contract for the city's extensive fibre network asset upon which CCTV, Traffic Management and many of the council's critical systems run.
- Ensure Robust Service Level Agreements and performance reporting to help the BCC to detect service degradation and network congestion, prompting proactive / reactive intervention.
- Ensure robust asset management and regulatory responsibilities of the supplier
- Be an enabler for income generation and SMART CITY
- Delivery of this project will help the city's infrastructure and connectivity in line with the relevant One City Plan – priority theme - Connectivity.

Consultation Details:

No consultation is necessary for this key decision.

Revenue Cost	£1m allocated plus £3m predicted spend (over 7 year timeframe). Total up to £4m.	Source of Revenue Funding	This will be mainly split across Operation Centre, Housing , Traffic and Parking Services plus any other services that wish to use the contract
Capital Cost	£2m allocated plus £6m predicted spend (over 7 year timeframe). Total up to £8m.	Source of Capital Funding	The £2m has previously been approved by Cabinet within the Bristol Operations Centre Phase 2 programme. £6m would be subject to the appropriate approval of separate requests.
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:

In December 2017 Cabinet approved the Bristol Operation Centre Phase 2 business case which included a request for £2m Capital funding for the upgrade and installation of CCTV hardware.

The BOC Phase 2 project team are now looking to secure a contract for that £2m CCTV spend. At the same time they would like to consolidate in to that contract all other BCC spend (either Capital or Revenue) on CCTV and on fibre network extensions and thereby optimise contract value.

This contract is intended to be the only procurement route for CCTV and for fibre.

The project team wish to ensure that any negotiated contract is of sufficient value that it won't subsequently be necessary to ask for a waiver or to have to retender sooner than planned.

This report requests the go-ahead to follow a competitive OJEU tender for a contract of up to 7 years and up to £12m and to delegate authority to the Executive Director of Growth & Regeneration to procure and award that contract at the end of that process.

Finance Business Partner: Jemma Prince 3/5/19

2. Legal Advice:

Given the estimated value of the contract its procurement will need to comply with the Public Contracts Regulations 2015 and the Council's own procurement rules. Consideration will also need to be given to the most appropriate form of contract.

Consideration should be given to how much flexibility the contract terms will offer, as the Council's needs regarding fibre and CCTV may vary considerably over this time period.

Legal Team Leader: Sinead Willis, Commercial and Governance Team Leader

The strategic intentions for the Council owned ducting infrastructure and associated fibre cabling is a matter of on-going review. However, if the Council is to retain and utilise this capability, then a mechanism for repair, maintenance and enhancement is clearly required. There are a number of initiatives that intend to do so, plus there are current IT services that require ongoing support. This proposal seeks to maintain those essential current services, plus meet future needs. It is essential, however, that under any contract, IT Services remains able to effectively determine and manage the integrity and security of our core networks

ICT Team Leader: Ian Gale 14/03/19

3. HR Advice: No direct HR implications apparent for BCC. No impact to HR		
HR Partner: Celia Williams 12/03/19		
EDM Sign-off	Colin Molton	3 rd April 2019
CLB Sign-off	Cllr Cheney	15 April 2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	13 May 2019

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 – Exempt Information	none
Appendix J – HR advice	NO
Appendix K - ICT	NO

Bristol City Council Fibre and CCTV Market Engagement Exercise

26th November 2018

9:30am-12:00pm

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Agenda

09:30-Welcome And Procurement Overview

09:45- Bristol Operations Centre (BOC)

10:00 to 11:00- Fibre, Traffic, Public Safety, Housing and Car Parks

11:00 to 12:00- Questions and Answers

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Overview

Louise Back -Procurement Manager

A big thank you to everyone for coming today

THANK YOU and WELCOME

Objectives of the Engagement Process

- Understand the market & enable decision.
- We use the information to inform the ITT in an unbiased way.
- Provide information to suppliers.
- Improve the quality of our tender process & documents.
- Aid supplier understanding of BCC's requirements.

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Key Principles of the Day

- This is at PIN Stage – high level at present.
- We have not finalised specification, lots or detailed ITT documents.
- We may have to come back to you on specific questions.
- We will share the information by email after the day.
- We welcome your feedback to the questionnaire to help us when creating the ITT.

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Note: Whilst we share information on our current estate and brands are mentioned, the evaluation criteria will be brand agnostic, marked on meeting outputs/functionality; quality and value for money.

Bristol Operation Centre (BOC)

Peter Anderson

Head of Service, Bristol Operation Centre

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BRISTOL
Operations Centre



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The Vision

To create an integrated city-wide management, service delivery and collaborative centre, focused around the needs of citizens, and aided by an open information platform.

From - To



From - To

2014 – Bristol secured funds as a SMART City Demonstrator

2015 – (Oct) Cabinet Sign Off - £8million for BOC Project

2016 – (Dec) BOC built

2017 - (Feb, July, October) – re-location of three centres (Emergency Control, Concierge, Traffic)

2017 – (Nov) – Introduction of first commercial partner – First Bus

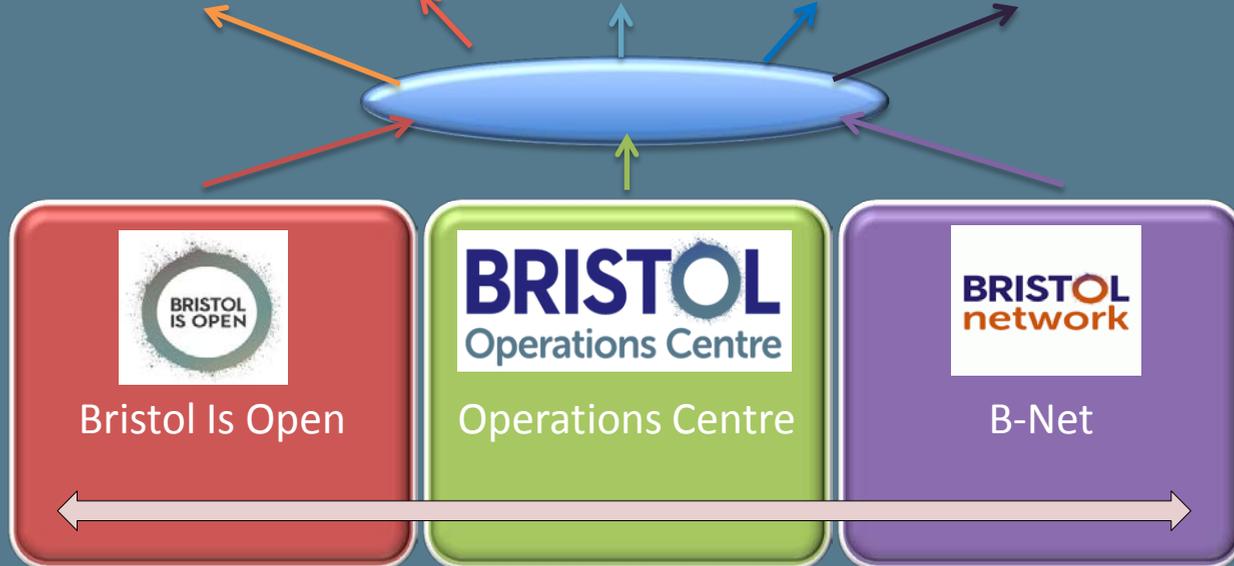
2018 – to date – Completion of Phase 1 (Build / Tech – ongoing / People), SMART City development

We are a Multi-Agency centre service (desk space, service delivery , response)

- Police
- Fire and Rescue
- Bristol University
- Environment Agency
- Bristol Is Open
- West of England Combined Authorities
- Destination Bristol
- First Bus
- Neighbouring local authorities
- Regional Organised Crime Unit
- **and many more.....**

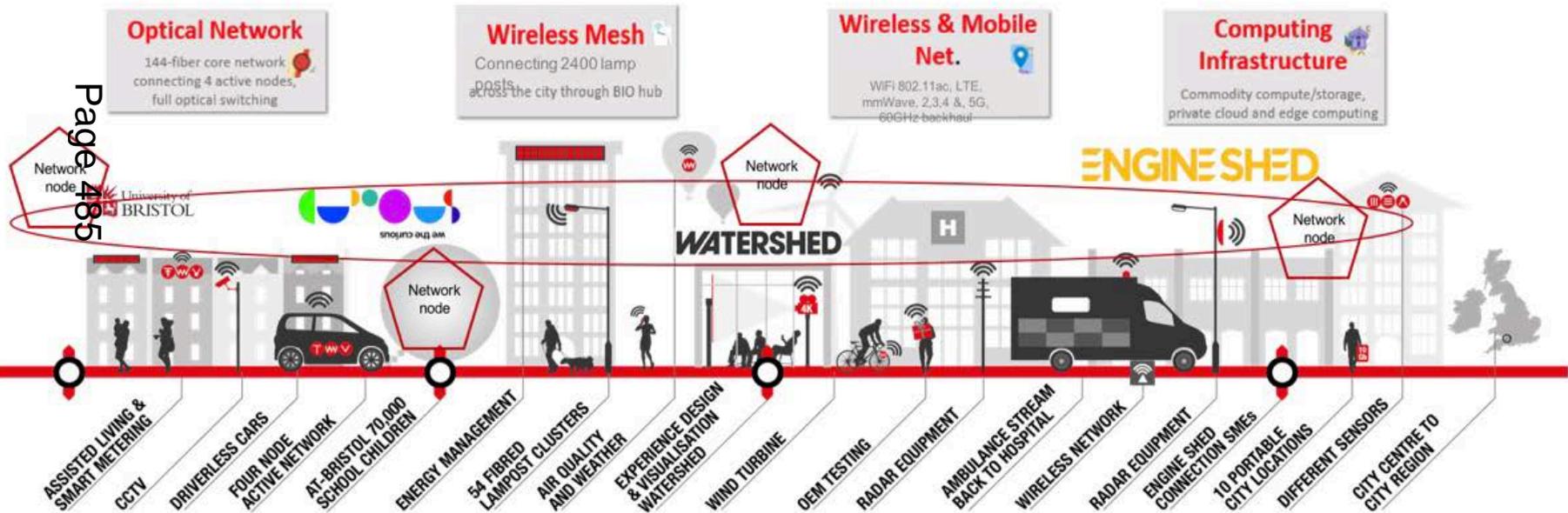
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Special Ingredients for Bristol



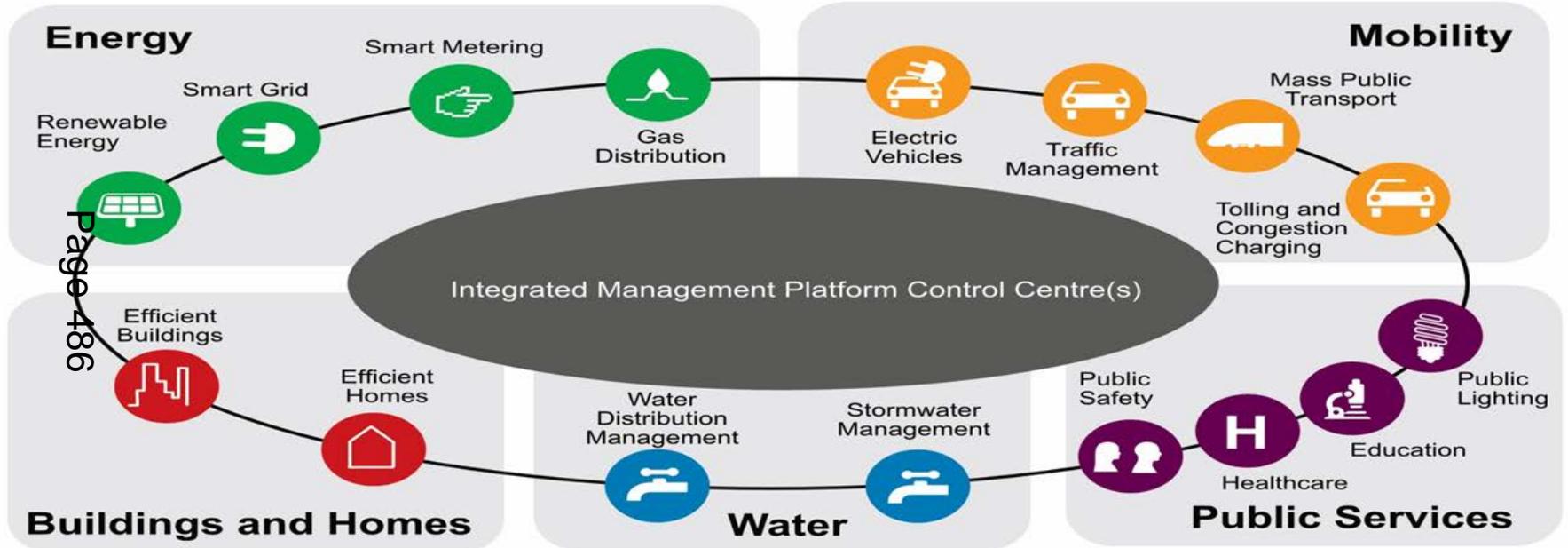
“Bristol Is Open” is a fibre back bone, multiple wireless connectivity network based in the heart of Bristol city

A Research and Development, secure network testbed on the street to prove city wide solutions that can then scale to benefit all or create technology solutions be commercialised



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An example of how 'Smart' can be realised



Where is the Council going?

- Defining our SMART City ambitions and opportunities
- 'Technology' – procurement of core systems
- Use of Operation Centre as training facility and fully operational tactical command – incident and event management
- Relationship with West of England Combined Authorities (WECA) and progress of 5G Tourism / Safety Pilot

CCTV and Fibre are key ingredients in realising the above, keeping Bristol at the forefront of city connectivity and innovation.

Public Safety Services

Gareth Mills

Bristol Operation Centre Manager

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Telecare
monitoring

Research and
development

Environmental
monitoring

Metrobus RTS
monitoring CCTV
and emergency
points

Traffic network
information

Critical incident
management

Emergency Out
of hours call
handling

Remote housing
concierge

Co located with
Critical Partners

Public space
CCTV monitoring

Fire, panic &
intruder alarm
monitoring

UTC & ITS
management

Lone worker
support

Car parks CCTV
pay machines,
barriers &
emergency
points

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Housing
Concierge &
CCTV(CIRCA 470)

City
infrastructure
monitoring

Events
management

Transport
modelling

Bus lane
enforcement

Uses of CCTV

- 700+ Public Space CCTV cameras
- 250+ Alarm monitoring customers (access, river Monitor x 3 separate Airwave channels for Police.
- Airwave, Retail and public safety radio communication
- Used to view 20 Variable Message Signs at key locations.
- Car Park Guidance system of 16 signs, covering 16 car parks.
- ANPR based journey time monitoring system, covering 36 sites.
- Bus lane enforcement/ Links with Bus Operators.
- 200+ Junctions under UTC/ SCOOT control (traffic signals)
- Assists Co-ordination of 400 buses operating in the city at any one time (First Bus)
- *Incident response and city co-ordination – civil protection*
- *Deliver public events such as St Paul's Carnival , Harbour festival , Loves Saves the day*

Average Monthly CCTV uses of

800 Concierge requests

70 Public Space incidents

90 Viewing Requests

3 Police Operations

Every weekend joint operation with Police to deliver safe NTE in the City Centre

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Working closely with



Public Space CCTV estate

Analogue Cameras

Bosch MIC400

360 Vision Analogue Predator

Hik Vision

Analogue Recorders

Bosch

Hik Vision

Dallmeier

IP Cameras

Bosch MIC7000 HD

360 Vision IP Predator

IP Recorders

Hik Vision

Hello to Jason Isaacs

Housing Services

Alison Scott
Housing Manager

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Housing Cameras

- 26,000 Council Properties Plus Leaseholders.
- Currently 400 Cameras mostly located:
 - City centre
 - High rise blocks
 - laundries and lifts
 - Hartcliffe
- New Camera Schemes in 2019
 - St Pauls, Redcliffe, Easton

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Funding

Service charge paid by tenants
£5-7 per/week covers ongoing operational costs and
maintenance.

New requests for CCTV in Kingsdown and Redcliffe

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Benefits of CCTV Cameras

- Has proved to be a useful deterrent for crime
- Providing the opportunity to detect crime
- Used in providing proof of:
 - Cases of Antisocial behaviour
 - Breaches of tenancy conditions
 - Physical abuse
 - Verbal abuse
 - Harassment
 - Criminal activity
 - Laundry misuse etc
 - Fly tipping
 - Making a case for possession at court

Tenants have reported the benefit of CCTV

In Forum and Service User Groups

Requests for newsletters/web information about amount
of cameras, upkeep, number of prosecutions etc

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Parking Services

Dominic Hitchcock

Senior Infrastructure Officer

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Background information

- 3 Multi-Storey Car Parks (open 24/7)
- 3 Park & Ride Sites
- We manage another 30+ surface car parks
- Approximately 280 cameras
 - Combination of fixed & PTZ cameras
 - Majority of which are analogue. Less than 10 IP cameras currently
- Potential for future expansion, including:
 - Upgrade all Park & Rides sites to IP (approx. 60 cameras)
 - Install new cameras to MSCP's (approx. 40 cameras)

Fixed Cameras

Used to monitor:

- Pay stations
- Entry / exit lanes & barriers (ANPR)
- Stairwells
- Lifts
- Emergency call points
- Customer waiting areas
- Bus stops
- Consideration to use cameras with 180 / 360 degree field of view

PTZ cameras

Used to monitor:

- Car park decks (parking spaces)
- To achieve full coverage of parking levels (largest site has 1500 spaces to view)
- Up/down ramps
- Entry points to stairwells
- Site amenity buildings
- Site infrastructure

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Overview of Camera Requirements

- Provide images / footage of evidential quality (Police / Insurance)
- Identify vehicle registrations, colour (make & model)
- Identify people
- Provide text overlay – camera title, time & date
- Provide clear images day & night
- Ability to zoom in on recorded images
- Vandal resistant
- Analytics to aid reviewing footage
- Integrate with Bristol City Council platforms

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Traffic Signals & UTMC

Max Thorley
Traffic Signal Engineer

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Background information

- Previous set up – Traffic Control Centre
- The need for proactive network management
- Ducting & existing comms infrastructure
- UTC/SCOOT - Need for reliable communications
- Point to Point connections
- Security

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Existing assets

- Nearly 380 Signalised junctions and pedestrian crossings within Bristol
- Over 200 sets of traffic signals connected to BNet
- 34 Variable Message Signs
- Approximately 100 ANPR cameras
- Shared use CCTV Cameras
- On-street equipment housed in traffic signal controllers and comms feeder pillars

MetroBus

- Emphasis on high quality sustainable travel
- Expansion of existing system and assets
- Digital infrastructure – CCTV & iPoints
- Use of Managed switches / Network hubs
- Associated assets e.g. street lighting
- Connections in North Somerset
- Central traffic signal priority

Future technologies

- CCTV Analytics
- Journey time information
- Origin/Destination flows
- Enforcement – traffic offences
- Pedestrian/cycle counts
- Connected and autonomous vehicles
- 3rd party sensors e.g. air quality, weather

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Fibre

Alex Simpson
Solution Architect

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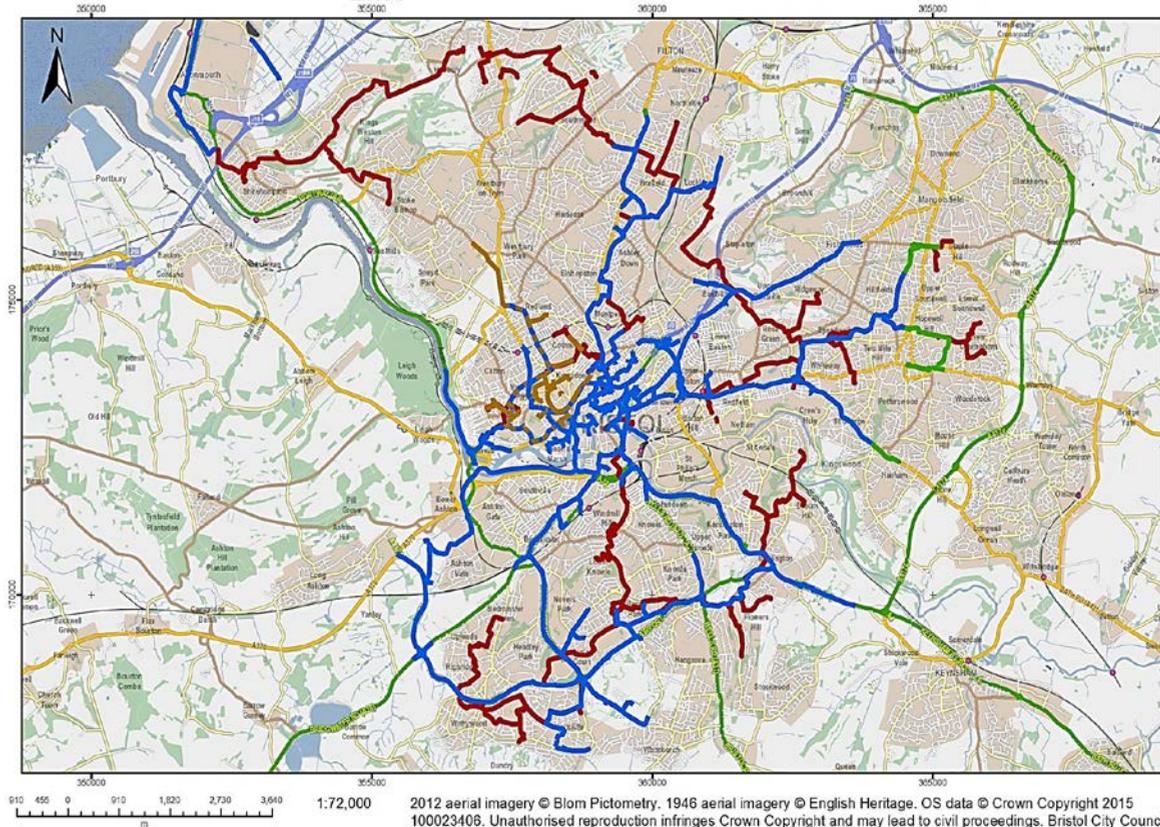
Bnet

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What is Bnet ?

- Bristol City Council owned Fibre and Duct network
- Covers about 100Km
- Used by:
 - CCTV
 - Traffic Signals
 - ICT
 - Bristol University
 - BIO Test and development (Bristol IS Open)

What services?

Services required:

- Service restoration

Moves

Changes

- Additions

Should be able to manage the whole process for all of the above

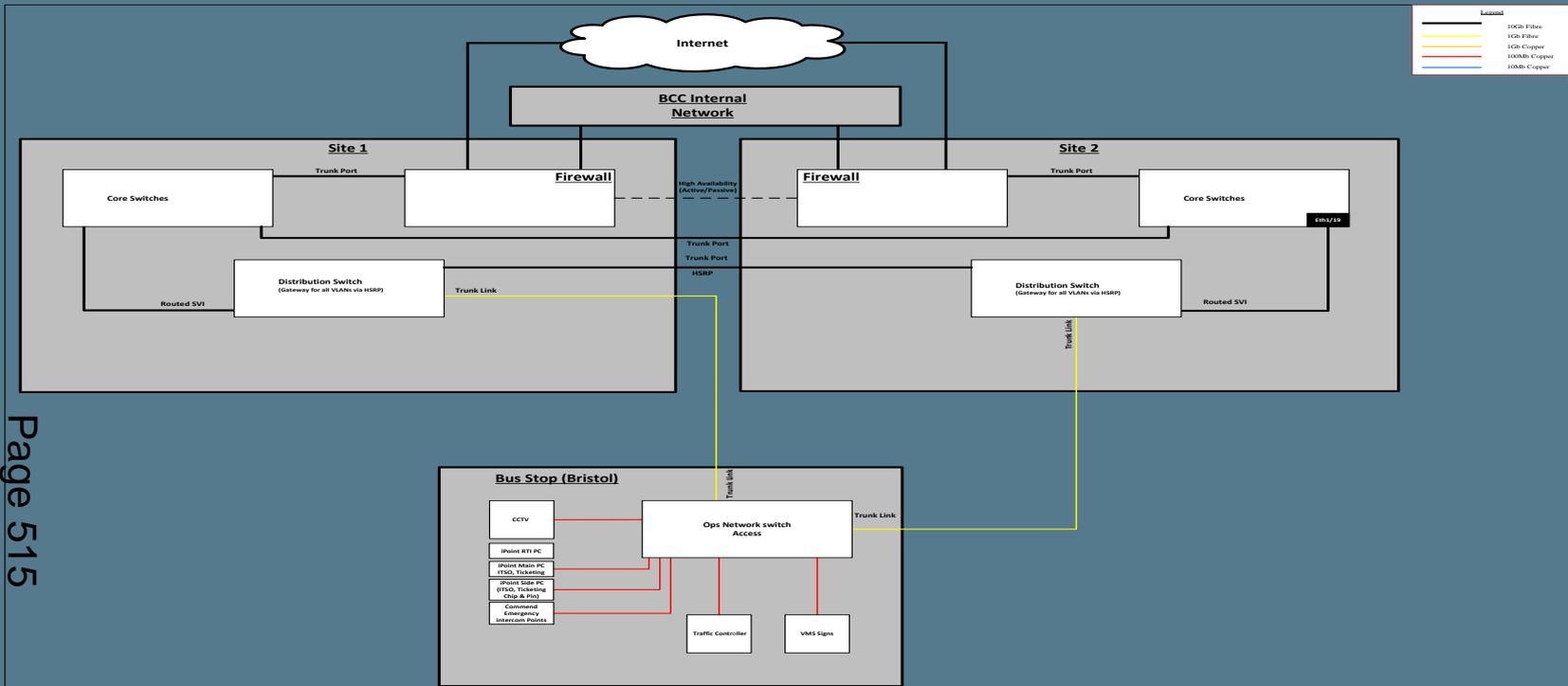
Network

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Title:	Metrobus – Overview Data Network Design	Customer:	Bristol City Council	Author:	Andrew Payne	Creation Date:	22/11/2018	Version	
Diagram Id:		Classification:	Public	Last Update By:	Alex Simpson	Last Update Date:	22/11/2018	1	

BCC Network

- Core Cisco network
- Huawei for end devices
- Core is 100Gb
- Security:
 - Zones
 - End point authentication
- Multicast PIM Sparse Mode
- QoS enabled

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Thank You

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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	Replacement of critical systems within the Operations Centre. Support and installation of BCC's Fibre contract which supports not only the Operations Centre but all of BCC's ICT.
Please outline the proposal.	<p>The telecare call answering platform needs modernising in order support our client and service users of this critical life and limb service. BT is also switching of analogue telephone lines by 2025.</p> <p>Security alarm monitoring platform needs modernising in order monitor the BCC estate, schools and others.</p> <p>Public Space CCTV including bus lane enforcement.</p> <p>Installation, support & Maintenance for BCC's fibre Infrastructure.</p>
What savings will this proposal achieve?	<p>Support in house programs such as the better lives program, all BCC lone workers and support IP technologies, removing dependence on 3rd party telecoms.</p> <p>Efficiencies in staff time and a better multi agency approach.</p> <p>The Fibre contract with provide a stable infrastructure on which BCC depends for Traffic Signals, CCTV, Bus Lane enforcement & ICT</p>
Name of Lead Officer	Gareth Mills

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.

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

Telecare supports all people but especially those with a disability to remain independent

and at home. Connected technologies could provide virtual/digital communities. The platform also provides mobile support enabling people to continue to engage in their communities.

CCTV seeks to reassure all members of the community and can specifically support those experiencing targeted behaviour because of their protected characteristics.

Fibre would support digital inclusion

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

No significant negative impacts identified.

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.

Continues to support staff that work in the communities through the provision of the lone worker service.

Continue to produce images of evidential quality which lead to a successful prosecution.

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:

- 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. We have not identified any significant impact from this proposal on equalities groups.

Service Director sign-off and date:



Patsy Mellor 29/03/2019

Equalities Officer sign-off and date:



Duncan Fleming 14/3/2019

Eco Impact Checklist

Title of report: Bristol Operations Centre system upgrade				
Report author: Gareth Mills				
Anticipated date of decision 04/06/2019				
<p>Summary of proposals: Update of CCTV video management system, Security alarm monitoring system & replacement of Telecare call monitoring platform. This Report seeks approval to procure and let a new contract through a competitive OJEU tender process for the provision of ongoing maintenance, support and approved capital projects relating to the Council's Fibre network, CCTV estate and associated equipment for a period of up to 7 years (5 years with the option to extend for a further 2 years) for an estimated value of up to £12m.</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	+	Likely to reduce the power required to run the services.	
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	yes	+	Improved online access to view claims reduce printing & postage	The design, specification & procurement of the scheme will address the use of natural resources, energy use during installation, vulnerability to climate change & flooding & waste reduction and reuse.
		-	Construction works linked to fibre upgrades and maintenance	
Production, recycling or disposal of waste	Yes	+	Less paper /printing expected	Ensure contractor disposes of waste according to waste legislation (Include WEEE regulations) and follow the waste hierarchy.
			Waste from ongoing maintenance and any construction	
The appearance of the city?	Yes	+	Will support enforcement of Clean	

			Streets Smart technologies	Installation and maintenance of CCTV and fibre networks assist with smart technologies which can be used to ease congestion etc.
Pollution to land, water, or air?	No			
Wildlife and habitats?	No			
Consulted with:				
Summary of impacts and Mitigation <u>-to go into the main Report</u>				
<p>The significant impacts of this proposal are</p> <ul style="list-style-type: none"> • Some reduction in printing and postage as citizens, businesses and Landlords will have a coherent user experience to view their accounts online. • Some works such as maintenance and fibre network works will use energy, generate waste and travel. • Installation and maintenance of networks allow for the integration of smart technologies which can help reduce congestion/ identify fly tipping etc. <p>The proposals include the following measures to mitigate the impacts</p> <ul style="list-style-type: none"> • Impacts are mixed but overall positive. 				
Checklist completed by:				
Name:			Gareth Mills	
Dept.:			Bristol Operations Centre	
Extension:				
Date:			12//03/19	
Verified by Environmental Performance Team			Nicola Hares – Environmental Project Manager	

Decision Pathway Report

PURPOSE: For reference

MEETING: Cabinet

DATE: 04 June 2019

TITLE	Corporate Risk Management Report and Annual Update.		
Ward(s)	City Wide		
Author: Jan Cadby	Job title: Risk and Insurance Manager		
Cabinet lead: Councillor Cheney	Executive Director lead: Mike Jackson / Denise Murray		
Proposal origin: <i>BCC Staff</i>			
Decision maker: Cabinet Member Decision forum: <i>Cabinet</i>			
<p>Purpose of Report: Managing risks are an integral element to the achievement of the Bristol City Council's (BCC) Corporate Strategy (CS) 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 as at Quarter 4 2018-19. The Corporate Risk Management Report and annual update will be presented to Cabinet in June 2019. The Corporate Risk Report (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. 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 Bristol City Council's significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed. It should be noted that 'risk' by definition includes both threats and opportunities, which is reflected in the CRR.</p> <p>The CRR summary of risks is 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) on 26th March 2019.</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 Service Risk Registers (SRR), Directorate Risk Repots and the Corporate Risk Reports (CRR) are 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 Registers and reports are a management tool. They need 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. The Risk Management Assurance Policy was subject to an annual review and reported on to Cabinet and approved 22nd January 2019.</p>			
Cabinet Member / Officer 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 Strategy (CS) deliverables.			
City Benefits: Risk Management aims to maximise achievement of the council's aims and objectives by reducing the risks to those achievements and maximising possible opportunities that arise.			
Consultation Details: Service Risk Registers were reviewed and EDMS considered the Directorate risks during Q4 2018-19. A member briefing was held 25 th March 2019 followed by the Corporate Leadership Team meeting 26 th March 2019.			

Revenue Cost	£0	Source of Revenue Funding	N/A
Capital Cost	£0	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 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, Interim Service Manager Corporate Finance.
2. Legal Advice: There are no specific legal implications in the report. The CRR enables the council to monitor and manage identified risks and mitigations to ensure good governance and compliance with its statutory and other duties.
Legal Team Leader: Nancy Rollason, Head of Legal Service and Deputy Monitoring Officer.
3. Implications on IT: The CRR contains a number of references to IT as well as other areas of the Council. These IT elements are being managed and addressed as stated within the register. The accountable Directors for IT and Information Security Risks are working together developing a training plan and new processes to accelerate the necessary changes.
IT Team Leader: Ian Gale, Acting Head of IT.
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 report.
HR Partner: Mark Williams, Head of Human Resources.

Appendix A – Further essential background / detail on the proposal Appendix A:	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 The Corporate Risk Report (register of risk summary) Pages (1 to 27), the Performance Risk Summary (page 28 to 30), the Risk Rating Matrix and Scoring Criteria (pages 31 to 32)	YES
Appendix E – Equalities screening / impact assessment of proposal <i>(template available- request to DLT support manager). Please contact equalities.team@bristol.gov.uk for support. See also http://intranet.bcc.lan/ccm/navigation/policy-and-procedures/equalities-and-community-cohesion/equality-impact-assessments/</i>	NO
Appendix F – Eco-impact screening/ impact assessment of proposal <i>(template available- request to DLT support manager). Lead officer for support Steve Ransom.</i>	NO
Appendix G – Financial Advice <i>(Financial officer must be the author of the advice)</i>	NO
Appendix H – Legal Advice <i>(Legal Services must be the author of the advice)</i>	NO
Appendix I – Exempt Information <i>(Legal Services must confirm that information is to be exempt in accordance with the constitution)</i>	NO
Appendix J – HR advice	NO
Appendix K – ICT <i>Include here additional information from ICT</i>	NO

**Q4 Corporate Risk Report
and Annual Update.**

The Q4 2018/19 Corporate Risk Report (CRR)

The Corporate Leadership Board (CLB) reviewed the CRR in March 2019 and accepts it as working summary report of the critical and significant risks from the Service Risk Registers.

The CRR sets out the significant critical and high rated risks both threats and opportunities. All other business risks reside on the Directorate Risk Reports and Service Risk Registers.

The Corporate Risk Report (CRR) as March 2019 contains:

Threat Risks	Opportunity Risks	External / Contingency Risks
<ul style="list-style-type: none"> • No critical threats • 20 high rated • 4 medium • 2 new • 1 improving • 2 deteriorating • 1 closed 	<ul style="list-style-type: none"> • 1 significant opportunity • 2 high • 1 medium • 0 new • 0 improving • 0 deteriorating • 0 closed 	<ul style="list-style-type: none"> • 0 critical threats • 2 high threats • 1 medium • 0 new • 0 improving • 0 deteriorating • 0 closed

A summary of the progress of new, improving, deteriorating and closed risks for this reporting period are set out below.

There are two new threat risks this quarter:

- **CRR27 - Capital Transport Programme Delivery.** Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality. The risk rating being 3x7(21) high risk. This risk is managed and monitored within the Growth and Regeneration Service Risk Registers.
- **CRR28: Instability of Housing's new IT** - The stability and efficiency of the Housing IT systems present a current and future risk to effective service delivery and performance, tenant satisfaction and trust, and corporate reputation. (The risk replaces the Housing IT CRR20). The stability and efficiency of the Housing IT systems present a current and future risk to effective service delivery and performance, tenant satisfaction and trust. The risk rating being 3x7(21) high risk. This risk is managed and monitored within the Growth and Regeneration Service Risk Registers.

There is one improving threat risk:

- **CRR22: Partnerships Governance** - If the council does not maximise (or cannot quantify) the benefits of partnership working and/or experiences negative or counter-productive results may arise from partnership working. The risk rating being 3x3 (9) medium risk. This risk is managed and monitored within the Resources Service Risk Registers.

There are two deteriorating threat risks :

- **CRR13: Financial Framework and MTFP** - Failure to be able 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. The risk rating being 3x3 (9) medium risk. This risk is managed and monitored within the Resources Service Risk Registers.

- **CRR18: Failure to deliver 2000 Homes per annum by 2020** - The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes per annum by 2020 of which 800 are affordable. The risk rating being 2x7 (14) high risk. This risk is managed and monitored within the Resources Service Risk Registers.

There is one closed risk:

- **CRR8: Service Review** - 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. The risk rating being 2x5 (10) medium risk. This risk is managed and monitored within the Resources Service Risk Registers.

The risks CRR16 Leadership and CRR17 Strategy Management have consistently improved throughout the year and will be de-escalated within the Resources Service Risk Registers from Q1 2019/20.

The risk BCCC2/OPP4 Brexit is an unpredictable external threat and opportunity, and because of this the reporting for these entries may already be out of date. This is being managed within the Resources Service Risk Registers via a council-wide Brexit Project Board (for general preparedness) and Brexit Coordination Group (a tactical response group to manage any immediate issues presented in a 'no deal' scenario).

All risks on the CRR have management actions in place. The CRR will continue to be subject to a refresh during 2019.

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 D: The summary of the threat risks are set out on pages 1 to 23, opportunity risks pages 24 to 25, and external and civil contingency risks on page 26 and 27 all including controls and management actions. A summary of risk performance on pages 28 to 30 by level of risk, the risk matrix on page 31 and the risk scoring criteria on page 32. More detail is available on request.

Risk Management Annual Update

Risk management is the culture, process and structure 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 2018 highlighted a number of opportunities to enhance Risk Management. Areas for improvement included:

- 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.

During 2018/19 activities to further improve the management of risk have included:

- A Risk and Insurance Manager has been employed to further embed Risk Management principles and practices within the council. Areas of focus have included:
 - The Risk Management Assurance Policy reviewed and refreshed with the addition of introducing the following:
 - Escalation of risks scoring 20 to 25 and core risks identified by the Leadership Team

onto the Corporate Risk Report.

- Introduction of the Corporate Risk Management Group (CRMG).
- Three lines of defence assurance model for the management of risk.
- Maturity of risk management and other relevant detail to enhance its robustness.

The policy has remained consistent in terms of its approach with the previous version and the risk appetite agreed by Cabinet in December 2017. Key areas of improvement have included.

- Increased levels of engagement and ownership by Service Managers through a series of risk management awareness sessions and workshops.
- Formation of a cross cutting forum - the Corporate Risk Management Group (CRMG).
- Risk management data centralised on SharePoint.
- Refreshed Corporate and Directorate Risk Reports with Service Risk Registers maintaining the focus to reduce the risk / take the opportunity on the council's Corporate Plan objectives 2018-23.
- Considered risks within the Service plans for 2019/20.
- Highways risk review workshop and ranking.
- Awareness sessions on managing insurance in major projects.
- Reviewed approach to Risk Improvement Actions.
- Review of the councils risk financing processes.

We continue to further embed and strengthen the risk management framework at Bristol City Council and we continue to improve the alignment of risk management practices across the council.

Conclusions

The risk management arrangements continue to embed with good levels of engagement from the Strategic, Extended and Directorate Leadership Teams. The scrutiny arrangements have become more embedded during 2018/19. It is felt that the Council is now well positioned to continue to develop/ formalise its risk management arrangements.

Corporate Risk Register as at March 2019 – Threat 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 cost of the asset exceeds expectations. The demand for the asset is less than budgeted driving down income. Strategic, geographic, social, financial and economic conditions changing over time. Over-sight of Project Interdependencies not well managed. 	<p>The Council has an approved Capital Strategy which sets out how capital investment will play its part in delivering the ambitious long term strategic objectives of the Council, how associated risk is managed and the implications for future financial sustainability. Capital Governance arrangements have been reviewed and some improvements have been made to governance and accountability arrangements through Housing, Property and Growth and Regeneration Boards. The G&R Board will be 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. The agreed capital programme for the next 5 years includes significant corporate contingencies to mitigate financial risks and new pressures or opportunities. The Council also holds a capital investment reserve to support future capital and commercial investments and associated risks therein.</p> <p>We are, 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>Harbour Strategy -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, and carrying out condition surveys to assist with the development of a robust maintenance schedule.</p> <p>Arena - We commissioned consultants to carry out Value for Money (VfM) studies for the Arena at Temple Meads, alternative use of the site plus an alternative scheme at Filton. On the 4th September 2018 Cabinet agreed to look to an alternative use for the Temple Quarter site.</p> <p>Temple Quarter - For contracts we ensure that robust contingencies are built into the project costs, and secure consultant's advice relating to appropriate risk allocation and reward, and other contractual arrangements.</p> <p>Cattlemarket Road - Cabinet approved reallocation of existing budget in January 2019 to enable demolition of the former sorting office to ground level.</p> <p>Colston Hall -Consultants were engaged last year to undertake an options appraisal to verify the project in its current format i.e. the scope of the works and ensuring that the correct option has been chosen to make the hall financially sustainable. Cabinet has approved the underwriting of the project to a maximum of £48.8m. The project is progressed through the Southern Construction Framework (administered by Devon County Council) and In January 2019 Cabinet member was briefed on position.</p> <p>Energy -In the last 2 years Bristol Energy has grown significantly. However the energy market is extremely complex with strong competition from new and existing energy retailers with high volatility in wholesale prices and the industry is currently subject to price scrutiny from Industry regulators.</p>	↔	3	7	21	<p>Ongoing improvements to capital governance, financial and delivery monitoring arrangements aligned to capital strategy requirements to be implemented from May 2019. 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 and further detailed review of the capital programme to be undertaken as part of the budget process (Ongoing), 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 (Ongoing,) and we continue to strengthen client-side arrangements for companies around the:</p> <p>Harbour Strategy - 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 dock's walls to produce a future maintenance schedule as part of the BCC Asset Management Plan by end spring 2019.</p> <p>Arena - Following the Cabinet decision in early September 2018 that alternative options for Temple Island will be pursued the Arena project is being closed. Project closure is on track for completion by 31 March 2019.</p> <p>Temple Quarter - Cabinet on the 4th September agreed not to pursue the development of the Bristol Arena on the former diesel depot site at Temple Meads.</p> <p>Cattlemarket Road - Further funding may be required to discharge the obligations of the City Council under the terms of the sale agreement to the University of Bristol (UoB). Discussions are underway with the UoB to reach a resolution.</p> <p>Colston Hall - 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 and following a strategic meeting between Executive Director G&R and MD Principal Contractor on 10 October 2018, plan established to allow Contract Signature by March 2019 for agreed scope and value set out in cabinet paper dated May 2018.</p> <p>Energy - Like all business in this field we continue to work with the company consultants to explore opportunities to ensure we have the right operating model to deliver our objectives. (Ongoing) and we are currently exploring opportunities for smart energy initiatives which include City Leap.</p>	1	7	7
<p>Risk Owner: Interim Executive Director Growth and Regeneration, Executive Director Resources and S151 Officer.</p>	<p>Action Owner: Interim Executive Director Growth and Regeneration, Director Finance.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>						

Corporate Risk Register as at March 2019 – Threat 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>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. • Budget pressures. 	<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. 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. Ongoing.</p> <p>Corporate Asbestos arrangements have been reviewed and published on the Source, 12th June 2018.</p> <p>A corporate review of Asbestos arrangements is has been carried out Q2 2018/19.</p> <p>Property Services have reviewed their asbestos arrangements.</p> <p>We are holding regular 'Asbestos working group' meetings to progress the management of Asbestos across the authority. Ongoing.</p>	↔	3	7	21	<p>All managers will be informed of reviewed Asbestos arrangements by use of CHaSMS.</p> <p>Housing are reviewing and updating the service area Asbestos arrangements, as part of a wider action plan to improve the management of Asbestos, following a Corporate Safety review of the Service.</p> <p>Housing and Property Service are reviewing and updating the service area Asbestos arrangement procedures.</p> <p>Arrangements being made for contractor training to inform of BCC's expectations of standards, whilst on our sites are being made by Property services and housing each aiming to roll out in Feb / March 2019.</p> <p>New Health and Wellbeing Manager to carry out follow up review of actions set out in original review and monitor progress with actions until complete</p> <p>Housing are recruiting a new Health and Safety Post to support effective Health and Safety Arrangements and monitoring</p> <p>CHASM is being reviewed and a specific toolkit for Property "persons in charge" is being created which will enable central monitoring of asbestos arrangements in practice.</p>	1	7	7
<p>Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB).</p>	<p>Action Owner: Director of Commercialisation (for Corporate Estate) and Director of Housing and Landlord Services (for Social Housing).</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

Corporate Risk Register as at March 2019 – Threat 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>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. • 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. • 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 is communicated. All incidents are subject to the investigation procedure to reduce the potential for any 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 council's audit programme monitors compliance with statutory duty and best practices.</p>	↔	3	7	21	1	7	7
<p>Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB).</p>	<p>Action Owner: Director of Workforce Change.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>					

Corporate Risk Register as at March 2019 – Threat 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. • Any event which may cause major disruption. • 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 who meet quarterly to oversee the council’s Business Continuity arrangements and to receive significant risks outside council’s 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 staff. The Incident Response Plan updated in July 2017.</p> <p>Service Business Continuity Plans were in place for January 2018, the plans have undergone a refresh in 2018.</p> <p>An Incident Management Team training session was carried out 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>CLB accepted growth bid for extra staff on CPU team.</p> <p>A review of Service Level Business Continuity Plans has been completed January 2019. We have \been introducing a quality assurance approach for our business continuity plans to emphasise service accountability.</p> <p>(See CRR24 for Line of Business page 22, CRR25 for IT Resilience page 23 and CRR7 for Cyber-attack page 6.)</p>	↔	3	5	15	<p>The Business Continuity Policy is planned to be reviewed in by November 2019.</p> <p>The Corporate Business Continuity Plan will be reviewed by in December 2019.</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 2019.</p>	1	3	3
<p>Risk Owner: Interim Executive Director Growth and Regeneration</p>	<p>Action Owner: Director Management of Place</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation, Wellbeing.</p>				

Corporate Risk Register as at March 2019 – Threat 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. • Insufficient risk assessment of new emerging fraud issues. • Lack of clear management control of responsibility, authorities and / or delegation. • Lack of resources to undertake the depth of work required to minimise the risks of fraud / avoidance. • 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 will 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 which are in place to 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 in an action plan which is monitored by Audit Committee.</p> <p>We have revised the structure of Counter Fraud team approved and HRA funding source agreed for tenancy fraud work.</p> <p>We have regular meetings taking place with Legal services to ensure cases progress swiftly.</p> <p>Data sets are submitted to the National Fraud Initiative and output received for review.</p> <p>The whistleblowing review has been completed and recommendations made.</p> <p>2 x Blue Badge exercises have taken place.</p>	←	3	5	15	<p>On-going monitoring of fraud indicators (warning signs and fraud alerts) to ensure anti- fraud approach is correctly targeted (Ongoing).</p> <p>Revised structure of the Counter fraud service agreed and implementation is ongoing. Action plan to be prepared for tenancy fraud work and delivery of KPI's.</p> <p>Future KPI's to recognise all results from tenancy fraud work i.e. recovered properties, cancelled applications and cancelled 'right to buy' applications.</p> <p>More work to be undertaken with Legal Services to maximise recovery with minimum resource. Project to develop a data warehouse and potential regional hub to commence. Paper to be produced by 28 Feb 2019.</p> <p>Council wide fraud and avoidance initiatives including:</p> <ul style="list-style-type: none"> - NNDR Small Business Rate Relief (in progress). - Tenancy fraud key amnesty (March to May 19). - National Fraud Initiative 2018 (data received and being reviewed). - Accounts Payable forensics software. - Personal budgets – data analytics. <p>Bribery and corruption fraud control review in progress, to be completed by March 19. Work to develop a risk assessment underway.</p> <p>Fraud policy to be reviewed and updated.</p> <p>New fraud case management system to be explored and implemented before April 2020.</p>	2	5	10
<p>Risk Owner: Executive Director Resources and Director of Finance (\$151 Officer).</p>	<p>Action Owner: Director of Finance and Chief Internal Auditor.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

Corporate Risk Register as at March 2019 – Threat 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>CRR7: Cyber-Security.</p> <p>The Council's risk level in regards to Cyber-security is higher than should be expected.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of investment in appropriate technologies. Reliance on in-house expertise, and self-assessments (PSN). Lack of formal approach to risk management (ISO27001). Historic lack of focus. 	<p>The Council has secured a new Public Services Network (PSN) Certificate (issued 9th November 2018).</p> <p>A PSN Remedial Action Plan is in place.</p> <p>Budget provision for Cyber Security was allocated within the Future State Assessment Plan (FSA) as approved by Cabinet June 2018.</p> <p>Independent full security assessments have been carried out November 2018.</p> <p>Increased training - Phishing attacks November 2018.</p>	↔	3	7	21	<p>The Council has secured a new PSN Certificate as the assessor was confident that the Council had sufficiently completed much of the PSN Action Plan. However, there is still remaining a number of key activities which are being prioritised alongside other priority activity due to the current capacity of key skills/resources. The resourcing issue is being addressed within the current capability and capacity assessments which are a prerequisite to the ICT Restructure being delivered within the FSA Transformation Programme. Q4 2018, Q1 2019.</p> <p>Procurement for an independent assessment of the Cyber-Security risks, which is wider in breadth and deeper in discovery than the test currently undertaken for PSN compliance is underway; there have been delays in the procurement process which mean that the original Nov18 target has been missed. This will review all aspects of IT Security from both outside and within the network. This assessment will form the basis of the mitigation activity which will be undertaken within the FSA Programme. The audit and mitigation plans should be available during February 2019, ready for review by the Council's SIRO and the FSA Transformation Programme Delivery Board.</p> <p>ICT are working closely with the Council's new SIRO to improve the approach to all aspects of Information Assurance (including adoption of ISO27001). In addition to this, ICT are working with the Resources Executive Director and colleagues to review and enhance the current policies and strategies pertaining to Information Management. This is a new initiative without a formal plan as yet.</p> <p>The FSA Programme currently has plans to implement technology platforms to move the Council from file storage to document storage platforms, increase team collaboration without use of email, implement file retention policies, introduce document marking and rights management, implement data classification and improve federated search across structured and unstructured data stores. The FSA Programme will align with the new Information Assurance approach and the strategy set by the Council's SIRO, as direction becomes clear. In the meantime, ICT has given assurances that the FSA Programme deliverables will not impact or inhibit future strategy due to the flexibility and capability within anticipated technical solutions. This will be delivered in line with the 2-3 year FSA Programme.</p> <p>As well as technical controls, the ICT team is currently undertaking a Phishing attach exercise where we are sending emails to staff to see how users react to this type of Cyber Attack. Anyone clicking on links is directed towards targeted training. We will use the outcome of this exercise to inform on how we improve non-technical controls and training in future. ICT will continue to work with the SIRO to develop appropriate targeted training. Q4 2018.</p>	1	5	5
Risk Owner: Senior Information Risk Owner (SIRO).	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at March 2019 – Threat 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 that 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. Demand for services exceeds its capacity and capability. Inability to recruit/retain social care staff in a competitive market. Poor information sharing. Strategic commissioning arrangements do not meet identified need and our ability to commission safe care for children is impaired. Increase in complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation. 	<p>We provide regular analysis of performance and reports 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 and quality assurance framework.</p> <p>September 2018 Ofsted ILACS single inspection identified that, ‘services have improved substantially for care leavers, children in care and children in need of help and protection.’ However, there is more to do to ensure <i>all</i> children and families receive a good service. Based on this and self-evaluation, we are refreshing our transformation and improvement plan to address areas identified for improvement (these incorporate actions in response to learning from other Inspections, Peer Review, Serious Case Review, complaints and other feedback received).</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 workforce 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> <p>In response to an identified and increasing risk of serious youth violence, criminal exploitation a multiagency plan is being developed and implemented, focussing on primary, secondary and tertiary prevention.</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>						

Corporate Risk Register as at March 2019 – Threat 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>CRR10: Safeguarding Adults at Risk with Care and support needs. The council fails to ensure adequate safeguarding measures are in place, resulting in harm or death to Adults at risk.</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. • Failure to commission safe care for adults at risk. • Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities. 	<p>The Safeguarding Adults Board is an independent scrutiny board led by BCC alongside our statutory partner and 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).</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 Capability 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 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> <p>The outcome of the recent Kamil Ahmad Safeguarding Adults Review has been considered in detail and all recommended actions noted and acted upon.</p>	↔	2	7	14	1	7	7
<p>Risk Owner: Executive Director, Adults, Children and Education.</p>	<p>Action Owner: Interim Director Adult Social Care.</p>	<p>Portfolio Flag: Adult Social Care.</p>	<p>Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>					

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Corporate Risk Register as at March 2019 – Threat 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. It makes 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 Group (SPG) 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 (SPG) 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> <p>The Operational Property Group (OPG) as a sub-group to the Strategic Property Group (SPG) was launched September 2018 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 SPG and (from April/May 2018) through OPG which will adopt 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.</p> <p>Recruitment of Asset Management Plan specialist has commenced.</p>	<p>↔</p>	2	7	14	1	5	5
<p>Risk Owner: Interim Executive Director Growth and Regeneration.</p>	<p>Action Owner: Director Management of Place</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation</p>					

Corporate Risk Register as at March 2019 – Threat 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: Failure to deliver suitable planning measures, respond to and manage emergency events when they occur.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Critical services unprepared or have ineffective emergency and business continuity plans and associated activities. • Lack of resilience in the supply chain hampers effective response to incidents. • Lack of trained and available strategic staff. <p>(Previously Civil Contingencies and Council Resilience).</p>	<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 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 Day Two May 2018, 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>We tested the Bristol Operations Centre capacity to support multi-agency operations in July 2018.</p> <p>BCC took receipt the South West’s share of the National Emergency Mortuary Equipment in July 2018.</p> <p>A progress paper on Civil Contingency was received by the Strategy and Policy Board September 2018.</p> <p>Emergency Planning College (EPC)- led Strategic Incident Management Training sessions were held October 2018.</p> <p>We have reviewed the Excess Deaths capability in September 2018, (the multi-agency workshop was held in July 18).</p> <p>Voluntary agency capacity to support incidents was reviewed by the LRF in October 2018.</p> <p>A review and exercise of the COMAH (Control of Major Accident Hazards) Plan was carried out November 2018.</p>	↔	2	7	14	1	7	7
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Management of Place	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation, Wellbeing.					

Corporate Risk Register as at March 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level			
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<p>CRR13: Financial Framework and MTFP.</p> <p>Failure to be able 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"> 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. Governments spending review 2019. Inadequate budgeting & budgetary control/Financial Settlements & wider fiscal policy changes: <ul style="list-style-type: none"> The potential for new funding formulas such as for funding, business rates retention to significantly reduce the government funding available to the council alongside possible increase in demand for council services. Embedding of the new national funding formula for schools and High Needs. 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. Judicial review. 	<p>BCC manages its financial risks through a range of controls including medium term financial planning, 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 strategy process to enable the strategic objectives and the 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 maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions. The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial /economic risk and the adequacy of general reserves is determined as part of this exercise. 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. Preparation of the detailed 2019/20 budgets which are now subject to Full Council approval in February 2019 Medium Term Financial Plan agreed by Cabinet / Full Council in December 2018 and will be refreshed annually detailing savings, growth, and risks. The Mid-Year Treasury Report for 2018/19 presented to Audit Committee and Full Council in accordance with the Council's Treasury Management Process. Detailed savings monitoring process that tracks the delivery of all savings and transformation programmes Budget deep dives to confirm delivery of pipeline savings and explore pressures and efficiencies as part of the 2019 -2023 budget process. A review will be ongoing to identify a programme of propositions that exceed the forecasted budget gap to provide members with options and headroom for variations in financial estimates. Changes to savings in year are monitored by delivery executive. <p>Provisional settlement from Central Government has indicated a level of funding for 2019 which is broadly in line with our MTFP.</p>	↓	3	5	15	<p>We are undertaking due diligence on new propositions (at a proportionate level based on stage of development) to ensure subject to approval these can be contained within the financial envelope.</p> <p>The development of the finance team remains a key priority which will include commercial and business acumen. This will be an ongoing and aligned with professional development. Ongoing.</p> <p>Ensuring that Bristol City Council are engaged with or receiving timely feedback from the range of Government working groups exploring future local funding. Ongoing.</p> <p>We are co-ordinating the preparation of suggested alternative budget proposals to ensure final budget to be agreed by Full Council in February 2019 is resilient and set within approved financial parameters.</p> <p>(See OPP4 Brexit opportunity page 25 and BCCC2 Brexit external threat page 27.)</p>	1	5	5
Risk Owner: S151 Officer and Director of Finance.	Action Owner: Section 151 Officer, Executive Director Resources and Director of Finance.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

Corporate Risk Register as at March 2019 – Threat 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. • Interest rate volatility impacting on the council's debt costs. • Impairments in our commercial Investments are realised. 	<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.</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 Executive, Corporate Leadership Board and the Executive. The pipeline of propositions to be incorporated into the tracker, due diligence undertaken and subject to DE governance and assurance process.</p> <p>The ongoing regular monitoring reports to Corporate Leadership Team and Cabinet. 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>	↔	1	5	5	<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 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> <p>Working with external advisors to undertake due diligence of commercial investments to provide the council with Assurance and further opportunities to explore.</p> <p>Ensuring we get our accounts certified is important to ensure that we have properly accounted for the resources we have used during the year.</p>	1	5	5
Risk Owner: S151 Officer and Director of Finance.	Action Owner: Section 151 Officer, Executive Director Resources and Acting Director of Finance.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at March 2019 – Threat 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		
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<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 to provide 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>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> <p>We have regular communication with staff and key stakeholders to keep them up to date with organisational priorities and progress on recruitment of the senior leadership team. A refreshed internal communication and engagement strategy was received by CLB in August 2018.</p> <p>The senior leadership restructure is complete and all posts have been filled in Quarter 3 2018.</p>	↔	2	5	10	<p>A leadership development programme is underway for CLB. A Leadership Development Centre undertaken for all second tier managers. Leadership development planning underway for third tier managers. All development is based upon the new leadership framework and organisational values.</p> <p>Organisation values and behaviours adopted as part of Corporate Strategy and are being rolled out to all employees via team workshops.</p> <p>New performance management system and strategy being implemented from April 2019 to increase the levels of participation and quality of performance reviews.</p> <p>Performance appraisal cycle underway for 2018/19 with individual objectives set against business plan objectives from the Corporate Strategy. A new approach to performance and talent management launching in April 2019. This will include performance management for senior leaders.</p> <p>L&D support available to all staff to help them develop their skills and confidence in their roles, with additional funding identified for 2018/2019. The provision of L&D support around diversity and inclusion is currently being reviewed.</p> <p>The Organisational Improvement 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. It has a focus on six cross-cutting themes - an empowering organisation, diversity and inclusion, performance and talent management, workforce health and wellbeing, structure, pay and policy and our brand and recruitment.</p> <p>Launched Team Leader development programme 6 weeks for this new in team leader role focused on; practical people management skills and help put BCC policies into practice. It can also lead to an ILM Level 3.</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.				

Corporate Risk Register as at March 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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<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 resulting 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 2019/20 to note in April 2019. This was based on key elements of Service Plans for every department and was the second annual Business Plan aligned to the Corporate Strategy.</p> <p>Cabinet received the approved Performance Framework 2019/20 April 2019. The refreshed Performance Framework follows through the golden thread from Corporate Strategy through to KPIs and management information. This year both it and the annual Business Plan benefitted from input from frontline members via pre-decision scrutiny.</p> <p>The Communication Plan is in place for embedding the Corporate Strategy and Business Plans, including full briefing of all Tier 1 - 3 managers and for 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, with revised MTFP to presented to Cabinet in December 2018.</p> <p>Completed Business and Service Planning process for 2019/20 with sign-off from Corporate Leadership Board in March 2019, aligning service planning with the annual budget process.</p> <p>My Performance reviews undertaken throughout the organisation and management cascade underway to follow-up in any areas of non-compliance.</p>	↔	1	7	7	<p>There has been some delay in reviewing our partnership policy due to limited staff capacity and this has been re-profiled for completion by the end of May 2019 to enable it to take account of the published One City Plan and the One City Approach described therein.</p> <p>We are rolling out a new BCC Communications Strategy throughout 2019/20.</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 to be completed across the organisation for 2019/20 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 Corporate Leadership Board, Scrutiny and Cabinet will receive 2018/19 year-end performance reporting in spring 2019. 2019/20 progress against the Performance Framework will be presented to relevant management meetings, scrutiny commissions and Cabinet from Q2 19/20.</p>	1	5	5
Risk Owner: Head of Paid Service.	Action Owner: Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

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<p>CRR18: Failure to deliver 2000 Homes per annum by 2020 of which 800 are affordable.</p> <p>The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes per annum by 2020 of which 800 are affordable.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Not enough planning applications submitted • Not enough permissions granted • Inability of the housebuilding industry to deliver at this level. • Increased uncertainty in the market due to Brexit • Lack of capacity within the council's delivery system and the local market. • Insufficient housing land identified in Planning documents 	<p>We are progressing the Joint Spatial Plan and the Local Plan Review to identify sufficient housing sites to meet need.</p> <p>Prioritising the processing of residential planning applications.</p> <p>Established a dedicated housing delivery team.</p> <p>Planning to release circa 26 sites for development.</p> <p>Established Housing Company.</p> <p>Committed £50m to Grant Funding programme.</p> <p>Secured circa £20m of external grant funding to accelerate construction.</p> <p>Secured planning permissions for Romney House and Hartcliffe.</p> <p>Secured additional grant funding for infrastructure.</p> <p>Releasing land.</p> <p>Issuing grants to Registered Providers (RPs).</p>		2	7	14	<p>We are continually addressing all areas of affordable housing provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes).</p> <p>We are operating a significant land release programme to Registered Providers. On-going.</p> <p>We are carrying out a service review of the Housing Delivery Service by March 2019.</p> <p>We are engaging with Homes England on their new strategic partnerships to deliver increased capacity in the sub-region and with their Accelerated Construction and Housing Infrastructure Fund (HIF) programmes to de-risk sites. On-going.</p> <p>We are looking at how we can deliver additionally on existing sites utilising our grant to increase the number of affordable homes in 2019/20.</p>	1	5	5
<p>Risk Owner: Interim Executive Director Growth and Regeneration.</p>	<p>Action Owner: Director Development of Place.</p>	<p>Portfolio Flag: Housing.</p>			<p>Strategy Theme: Fair and Inclusive.</p>				

Corporate Risk Register as at March 2019 – Threat 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>CRR19: Tree Management.</p> <p>Risk of trees falling as a result of failure under certain weather conditions and/or due to disease</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Severe weather conditions and/or disease. • Lack of maintenance of trees. • Lack of tree inspections. • Reduction in budgets and fragmentation of management of trees across service areas putting pressure on the ability to adequately manage the council's trees. 	<p>Analysis has started on the trees that are potentially at risk and the resources assigned to tree management.</p> <p>Information about tree failure claims has been requested from our insurers.</p> <p>Some budget for tree management from parks and highways has been protected for 2018-19 while this is reviewed to deal with highways and parks trees.</p>	↔	3	5	15	<p>We are reviewing the tree management plan to assure that all trees are within the inspection regime in readiness for the adoption of the QTRA methodology.</p> <p>Budgets will be consolidated to provide a central tree management programme.</p> <p>Consideration on the current service provision related to tree management will include best value analysis.</p>	1	5	5
Risk Owner: Interim Executive Director Growth and Regeneration..	Action Owner: Director Place, Resources.	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

Corporate Risk Register as at March 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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<p>CRR21: Information Governance.</p> <p>General Data Protection Regulation (GDPR) compliance.</p> <p>If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • 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. • (This risk replaces CRR14 Introduction of the General Data Protection Regulation). 	<p>The GDPR Project was started in November 2017 and has put in place a comprehensive council wide package of changes for the introduction of the new regulation. It included awareness training, data audits, updated contracts, retention policy and privacy notices and improved processes for responding to subject access requests and completing data protection impact assessments. Support has also been provided to elected Members, Schools and the Bristol Companies. The GDPR Project completed its objectives and deliverables and was formally closed July 2018.</p> <p>A newly formed Office of Data Protection has been established, led by a dedicated Statutory Data Protection Officer (SDPO) who was appointed August 2018 to ensure the City Council maintains and further enhances its policies and procedures and to provide ongoing advice, guidance and support to service areas. Additional Data Protection specialists have also been appointed to support the SDPO.</p> <p>A Steering Group and Working Group is in place and regular reports continue to be provided to Executive Directors Meetings (EDM's) to ensure that the high-level of engagement and buy-in across all levels of the organisation is maintained.</p>	↔	3	5	15	<p>We have made significant progress on compliance with the General Data Protection Regulation (GDPR).</p> <p>The Office of Data Protection is working on a prioritised programme of work to fully transition from the GDPR Project and embed GDPR compliance into business as usual.</p> <p>We are currently considering the case for forming an Information Governance team, bringing together existing specialists into a central team which will be better positioned to provide advice guidance and support on all related aspects in a more coordinated manner.</p>	2	3	6
<p>Risk Owner: Senior Information Risk Owner (SIRO).</p>	<p>Action Owner: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).</p>	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

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Corporate Risk Register as at March 2019 – Threat 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>CRR22: Partnerships Governance</p> <p>If the council does not maximise (or cannot quantify) the benefits of partnership working and/or experiences negative or counter-productive results may arise from partnership working.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Failure to establish and/or manage contracts, Service Level Agreements and/or Terms of Reference in relation to partnerships. Not maintaining a central register of partnerships, membership, governance arrangements and performance measures. No identified lead officer to progress development of partnership working as in proposals presented to the Audit Committee in April 2016. Outdated partnership policy and toolkit (last iteration 2010). A broad range of partnerships with variable degrees of formality. 	<p>BCC has close involvement of Elected Mayor and Members in key partnerships. Regular review and evaluation of the current position by CLB.</p> <p>Leads have been defined for recommendations to develop partnership working which were received by the Audit Committee in April 2016.</p> <p>BCC has mechanisms in place for regular dialogue including formal partnerships.</p> <p>The role of Director: Policy and Strategy has been expanded to include oversight of partnerships and a permanent appointment to this post has been made.</p>	↑	3	3	9	<p>We are reviewing and refreshing the Partnership Policy and Toolkit.</p> <p>Creating a central Partnership Register including Service Level Agreements (SLAs), Terms of Reference (Terms of reference) and contracts where appropriate.</p> <p>Creating a template Terms of reference and porting existing Terms of reference to it.</p> <p>We are scoping and reviewing the need for Commercial Training for relevant managers as part of Procurement and Commercial Strategy.</p>	2	3	6
<p>Risk Owner: Head of Paid Service.</p>	<p>Action Owner: Director Policy, Strategy and Partnerships</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

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Corporate Risk Register as at March 2019 – Threat 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>CRR23: Better Lives Programme.</p> <p>Failure to deliver the required outcomes and savings from the Better Lives Programme, whilst delivering against our statutory duties and maintaining quality services.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Increased demand and complexity of Service Users' needs. The Provider Market is unable to meet needs in the required way and/or we suffer relationship breakdown. Other Directorates within the organisation are unable to support the Programme in the way required. Statutory requirements of Adult Social Care (ASC) mean resources have to be diverted away from Programme activity. Changes to the priorities of the wider health system and/or the National context, requires us to divert resources/focus away from the Programme's objectives. There is a lack of sufficient skills and capacity within Adult Social Care (ASC) to deliver the required change at the required pace. Focus on savings, demand management and specific areas of the service creates risk in other areas of adult social care where we have a statutory duty to deliver. 	<p>We have a Programme Board in place that meets monthly and has a key governance role for the Programme in terms of managing risk. The Board membership contains the Cabinet Lead for Adult Social Care, The Executive Directors for ACE and Resources, the Director of Adult Social Care and representation from both Bristol Hospital Trusts and the Clinical Commissioning Group (CCG). They are provided with a verbal update and written monthly highlight report that contains key risks and issues. Any actions and decisions arising are minuted with completion tracked through a log.</p> <p>The Programme Senior Responsible Officer (SRO) regularly attends key internal governance meetings e.g. ACE Scrutiny Commission, Delivery Executive. The programme appointed a dedicated Senior Professional Lead who works within Adult Social Care to oversee delivery of the programme outcomes and act as the lead Business Change Manager.</p> <p>We have delivered and are planning to deliver a number of key interventions to improve the diversity of provision and the Provider Market's ability to respond to changing requirements and needs e.g. Bristol Price introduced for residential and nursing care June 2018; Market Position statement provider event held .We are actively increasing opportunities to work with us in shaping the future market as well as investing in key areas such as Home Care (Cabinet approved rate rise and innovation fund July 2018).</p> <p>We are working closely with other areas of the Council we have a dependency on to help us deliver the programme outcomes e.g. Change Services, Housing, Communities, Information Communication Technology (ICT) and Procurement colleagues.</p> <p>We have a specific area of the Programme dedicated to strengthening partnership working.</p> <p>We have introduced a number of interventions that are impacting new demand e.g. the introduction of the Bristol Price (June 2018); increased capacity and investment in Home Care (July 2018); increased capacity in the Reablement Service; Introduced a new Home First Service (October 2018)..</p>	↔	2	7	14	<p>We are currently developing a new phase of the Better Lives Programme, focused on delivering the programme vision at pace. This will include activities to deliver further changes which are required around Older People's services and an increased focus on Adults of Working Age and Preparing for Adulthood.</p> <p>Piloting provider reviews to increase capacity in our Reviewing Teams and further develop the Market. (November 18)</p> <p>Developing for a new Assistive Technology offer.</p> <p>Completing the delivery of proposals new technology and working practices to our Social Workers.</p> <p>Completing the delivery of proposals new technology and ways of working to our Home First and Reablement teams. Continue to increase the capacity of the Reablement service to the required level,</p> <p>Continuing to discuss dependencies between Healthier Together and Better Lives with programme leads. Implement Phase 2 of the Integrated Care Bureau.</p> <p>Introducing a further rate increase for Home Care. April 2019.</p> <p>Opening two new Extra Care Housing sites in the City each with 60 units with BCC nomination rights (100 units in total). Which has been delay from November 2018 to the end of Q4 18/19.</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.				

Corporate Risk Register as at March 2019 – Threat 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>CRR24: Procurement and Contract Management Compliance</p> <p>Failure to ensure that BCC achieves value for money when purchasing goods and services; complies with legislation, quality, cost and social value requirements for contract awards to ensure orders for goods / services are efficiently placed and observes agreed terms.</p> <p>BCC do not take into account long term view with regards to TCO (Total Cost of Ownership) & Life Cycle Costs high incidence of non-contracted spends.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Poor / weak pre procurement forward planning and tender specifications. • Over reliance and inappropriate use of waivers. • Skills knowledge. • Ineffective Supply chain and markets. • Poor / weak contract monitoring. • Supplier failure and missed opportunities of warning signs. 	<p>In 2018/19 BCC has adopted a Category Management approach and revised the structure of the procurement team to reflect the themes and style of working.</p> <p>A PFI contract management specialist has been appointed to support the council and other stakeholders in the management of the contracts, undertake due diligence to ensure maximum value is delivered from the councils PFI contracts. Ongoing.</p> <p>Council procurement rules were revised and agreed by Full Council in May 2018 and included strengthening the Category and Contract Management. Category Plans have been developed with forward plans which align to service and business plans.</p> <p>More in-depth performance Data is being collated to give greater visibility of compliant and non-compliant procurement activity and delivery of objectives e.g. Social Value. Ongoing.</p> <p>The Commissioning and Procurement Group are ensuring that the Councils procurement rules are adhered to. Ongoing.</p> <p>Implemented document contract procedures and have created standard ITT templates for BCC.</p> <p>Category plans include pipeline activity for every contract and client engagement plans have been created to ensure early engagement with Procurement and better planning.</p> <p>A pilot tracker system has been developed with Social Care Commissioners within the business to monitor performance to capture early warning signs linked to supplier failure to enable early intervention and business resilience.</p>	↔	3	5	15	<p>We are currently aligning category management forward plans with 2019/20 service resource planning across the organisation. January 2019.</p> <p>We are developing an improvement action plan which will include the following:</p> <ul style="list-style-type: none"> • Further development of the contract register. • Training and development plan for the procurement staff and the wider organisation. • Systems and processes to improvement and the monitoring of procurement performance. • Procurement efficiencies are being tracked in delivering agreed savings targets. <p>Tendering processes are being reviewed to eliminate non-value added activity and support the appropriate route to market.</p> <p>The early warning system pilot will be reviewed with a view to wider rollout. March 2019.</p> <p>This is not an exhaustive list and once the improvement plan has been endorsed it will inform on next steps.</p>	1	5	5
<p>Risk Owner: Section 151 Officer, Executive Director Resources.</p>	<p>Action Owner: Director Finance (Section 151 Officer).</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

Corporate Risk Register as at March 2019 – Threat 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>CRR25: Suitability of Line of Business (LOB) systems</p> <p>The Councils reliance on legacy systems.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of desire to change; systems. Significant transition activity leads to systems being expensive/complex to change Lack of understanding of consequences of not changing systems on ICT. Lack of adherence to Procurement rules in relation to re-procurements. 	<p>The FSA Programme plans to introduce a number of enhancements in regards to being able to better manage systems in the future. This includes the provision of some core capabilities which may be used to displace legacy systems in the future. As approved by Cabinet June 2018.</p> <p>As a result of FSA Programme activity to date, c40% of redundant servers have been removed from the Corporate IT estate. Q3 2018.</p> <p>The IT CSRM Team have developed a schedule of contract end dates, and are working with service areas to ensure that they have appropriate plans in place to engage the market and start re-procurement Q3 2018.</p> <p>Through the service planning process, service areas have identified their procurement requirements and also their strategic objectives for 2019/20 which has enabled ICT and Change Management to review the options for efficiencies and to ensure resource availability. Q3 2018.</p> <p>Working with Central Procurement colleagues to ensure that we have procurement policies and strategies in place to enable effective procurement activity to take place. Q3 2018.</p>	↔	3	5	15	2	5	10
<p>Risk Owner: Senior Information Risk Owner (SIRO) for Cyber Security Service Areas for BCP/DR.</p>	<p>Action Owner: Director, Digital Transformation.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>					

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Corporate Risk Register as at March 2019 – Threat 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>CRR26: ICT Resilience</p> <p>The Councils ability to deliver critical and key services in the event of ICT outages, and be able to recover in the event of system and/or data loss.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Poor BCP planning and understanding of key system architecture. • Untested DR arrangements including data recovery. • Untested network reconfiguration to alleviate key location outage. • Untested recovery schedules in terms of order and instructions • Lack of resilience available for legacy systems (single points of failure – people and technology). • Services undertaking their own IT arrangements outside of the corporate approach. 	<p>Resilience has been implemented within the Corporate Network to ensure that the network remains active and available in the event of a building becoming unavailable or a circuit being interrupted. Work to date.</p> <p>Backups are held within, and external, to the corporate network to ensure availability. Work to date.</p> <p>The FSA Programme has the movement to more resilient hosting as part of a core deliverable. Utilising cloud hosting improves resilience and recovery and enables access to key systems from outside of the corporate network, and if necessary, from non-corporate devices. As approved by Cabinet June 2018.</p> <p>The FSA Programme includes the review of future DR arrangements with the move to cloud for most services, and a move to crown hosting for remaining, servers. As approved by Cabinet June 2018.</p> <p>The FSA Programme includes work to aid with the survivability and recovery of Cyber Security Incidents which will aid the resilience of key Council systems. As approved by Cabinet June 2018.</p>	↔	3	7	21	<p>A test of current Disaster Recovery arrangements is due within Q4 2018/19.</p> <p>Ensure that Line of Business (LOB) systems that pose a Resilience/Recovery risk are identified and service areas understand the risks to their services within their BCP planning. On-going.</p> <p>Implementing a programme of DR Testing for key business systems (following the Q4 2018 testing). Q1 2019 onwards.</p> <p>Delivery of the FSA Programme remains the key ICT activity. This will be delivered in line with the 2-3 year FSA Programme.</p>	2	5	10
<p>Risk Owner: Head of Paid Service and Service Area Leads.</p>	<p>Action Owner: Director, Digital Transformation.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

Corporate Risk Register as at March 2019 – Threat 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>CRR27: Capital Transport Programme Delivery</p> <p>Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Overspend on individual schemes leading to uncontrollable cost pressures. • Underspend on annual profile. • Lack of coordination and programme management across divisions. 	<p>Transport Programme Team set up.</p> <p>Transport Delivery Board set up.</p> <p>Shared paperwork and highlight reporting process initiated.</p> <p>Regular briefings and reporting to senior management and cabinet members.</p> <p>5 year capital programme mapping process underway.</p>	New	3	7	21	<p>Transport department split which could endanger work done to date working on ways to mitigate this.</p> <p>Raising concerns to senior management.</p> <p>Retaining Transport Management Team (TMT) meetings.</p> <p>Continuing to develop Transport Planning Team (TPT), Transport Development Board (TDB) and highlight report processes.</p> <p>5 Year mapping ongoing, 19/20 programme mapped and ongoing.</p>	2	5	10
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Economy of Place	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

Corporate Risk Register as at March 2019 – Threat Risks to the achievement of Bristol City Councils Objectives. Corporate Risk Register as at March 2019 – Threat 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>CRR28: Instability of Housing's new IT (The risk replaces the Housing IT CRR20)</p> <p>The stability and efficiency of the Housing IT systems present a current and future risk to effective service delivery and performance, tenant satisfaction and trust, and corporate reputation</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • System stability - recent system failures have significantly impacted service provision (CSC & CSP as well as housing) and staff trust in the system. Further fixes required in the system. • Support capacity & processes - current SLAs and support arrangements with suppliers are inadequate for out of hours support. • Housing's Internal IT support arrangements are immature & require further testing. • Housing's IT is highly dependent on integrations working across multiple systems. 	<p>Escalated recent (Jan 2019) major incidents to Head of Paid Service & Exec Director with updates on resolution.</p> <p>Escalated concerns in letter to Exec Director at Civica Housing & met with Housing MD & sales directors to agree plan for improving stability and improving major incidents process.</p> <p>Put Housing IT programme (Phase 1) into exception, reconfigured close down project to include stabilising the system and improving the support processes.</p>	New	3	7	21	<p>Agree definition of stability from technical and business perspective.</p> <p>Supplement IT major incident planning in Housing's business continuity plan</p> <p>Plan DR testing with Civica and Click</p> <p>Manage close down project to include stabilisation of rents and repairs business areas & improved support processes (Phase 1 programme).</p> <p>Improve engagement with staff around progress in addressing the issues with the system.</p> <p>Civica project manager assigned to ensure we have support from Civica to deliver priority fixes & improved support arrangements needed.</p>	1	7	7
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Home and Landlord Services	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

Corporate Risk Register as at March 2019 – Opportunity 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>OPP1: One City Approach</p> <p>The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Mayoral aspiration and widespread partner sign-up to the principle. • Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan. 	<p>We have scoped and entered 'Phase Three' of development of the One City Approach (OCA), including catalysing One City Plan development by providing core resource from the council's Delivery Support Unit.</p> <p>Worked on draft One City Plan content with partners and internal stakeholders, with a planned launch of the first iteration in January 2019.</p> <p>Aligned internal resourcing for One City Plan development with our review of Partnership Policy (see CRR21) to ensure a joined-up approach.</p>	↔	4	5	20	<p>Resource has been identified to help catalyse activity and develop the One City Plan product, with multiple offers of support from city partners. By January 2019 we will have:</p> <ul style="list-style-type: none"> • Developed a 'One City Plan' in partnership with a variety of city-wide and regional organisations, including scoping the formal governance of the City Office and One City Approach. • Continued existing initiatives to trial and iterate the One City Approach. • Instigated or enabled new projects with partners where there is a strategic fit and an opportunity to further develop a working model. <p>Submitted a bid for council funding to contribute (alongside partners) towards a permanent City Office structure, to be confirmed through the council's annual budget process.</p>	4	5	20
Risk Owner: Head of Paid Service.	Action Owner: Director: Policy, Strategy and Partnerships	Portfolio Flag: Mayor.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at March 2019 – Opportunity 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>OPP2: Corporate Strategy</p> <p>The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Approved Corporate Strategy provides the foundation and direction for the organisation. 	<p>We have approved and adopted the Corporate Strategy, Business Plan 19/20 and Performance Framework 19/20 through appropriate Decision Pathways.</p> <p>Re-launched and completed 'My Performance' reviews including annual objective setting linked to the Corporate Strategy and Business Plan 18/19.</p> <p>Designed and delivered an integrated business planning approach for 2019/20, linking financial planning, service planning and performance management more closely and from an earlier starting point.</p> <p>The LGA Corporate Peer Challenge completed, providing fresh learning opportunities to improve our approach.</p> <p>Leadership Framework introduced and senior management posts recruited against it.</p>	↔	4	7	28	<p>We will implement a new system for performance management, iTrent, and ensure colleagues have annual performance reviews and objective setting during Q1 19/20.</p>	4	7	28
Risk Owner: Head of Paid Service.	Action Owner: Director: Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

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Corporate Risk Register as at March 2019 – Opportunity 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>OPP3: Devolution</p> <p>Should the potential arise for opportunities from a region’s evolving, second devolution deal that could lead to an opportunity to align the Council’s corporate priorities and strengthen regional partnership working.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Potential development of second devolution deal. 	<p>We have continued engagement with WECA; but with recognition that focus has been placed more on a proposed housing fund.</p>	↔	3	5	15	<p>We will continue to engage with WECA at strategic level.</p> <p>We will engage with HM Government following suggestion that more devolution opportunities may be available following Brexit.</p>	3	5	15
<p>Risk Owner: Head of Paid Service.</p>	<p>Action Owner: Director Policy, Strategy and Partnerships</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

Corporate Risk Register as at March 2019 – Opportunity 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>OPP4: Brexit.</p> <p>If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level.</p> <p>Key potential causes for enhancing and exploiting:</p> <ul style="list-style-type: none"> • Exiting the European Union. 	<p>We have:</p> <ul style="list-style-type: none"> • Completed and disseminate BCC threat and opportunity assessment, including links to our Business Plan 2019/20. This includes clear actions to be taken. • Undertaken a draft internal assessment of threat and opportunities following an externally-provided workshop. • Established a city Brexit Response Group. • Met Michel Barnier in Brussels with the Core Cities. • Been monitoring the environment; including news of threats from large local employers of leaving UK. • Collaborated on draft Inclusive Economic Growth Strategy. • Announced funding of Settlement Visas for EU employees. • Participating in MHCLG events and national working group of local authority representatives. • Attend MHCLG regional preparedness workshop for Chief Officers. • Established a Brexit Project Board and allocated some contingency funding. <p>We continue to work with Core Cities and M8 leaders on concerted joint efforts.</p>	↔	1	5	5	<p>We are monitoring the issue on an ongoing basis.</p> <p>Have further meetings of Bristol Brexit Response Group.</p> <p>Maintain the continued internal Brexit Project Board to ensure preparedness.</p> <p>Establish and activate Brexit Coordination Group as a Tactical level group to manage immediate issues relating to Brexit.</p> <p>Continued monitoring of external environment and government relations.</p>	1	5	5
<p>Risk Owner: Head of Paid Service.</p>	<p>Action Owner: Director Policy, Strategy and Partnerships</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

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Key External Risk and Civil Contingency Risks to note

Corporate Risk Register as at March 2019 - External 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>BCCC1: 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:</p> <ul style="list-style-type: none"> • Tidal surge, heavy rainfall, river and groundwater flood events. • Impact of climate change. • Lack of effective flood defences and preparedness for major incidents. 	<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. It provide 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
<p>Risk Owner: Interim Executive Director Growth and Regeneration.</p>	<p>Action Owner: Director Transport, Flood Risk Engineer, Strategic City Transport.</p>	<p>Portfolio Flag: Energy, Waste and Regulatory Services.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>						

Key External Risk and Civil Contingency Risks to note

Corporate Risk Register as at March 2019 - External 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>BCCC2: Brexit</p> <p>The risk that Brexit (and any resulting 'deal' or 'no deal') will impact the local economy, local funding and delivery of council services, and that uncertainty around Brexit could impact our ability to accurately assess or plan for potential positive or negative outcomes.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Exiting the European Union. • Lack of majority view on draft agreement with EU. • Unprecedented and complex national / international process. • Lack of planning by the authority. 	<p>Established Bristol Brexit Response Group.</p> <p>With Core Cities, met Michel Barnier in Brussels.</p> <p>Working with Core Cities and M8 leaders on concerted joint efforts.</p> <p>Monitored environment; including news of threats from large local employers of leaving UK</p> <p>Collaborated on draft Inclusive Economic Growth Strategy</p> <p>Developed a BCC Brexit No Deal Scenario Assessment to inform action planning - focusing on workforce, supply chain, city economy, legal, data & regulatory, finance & funding, core operations, civil contingencies and housing. Tested this with partners, Resources Scrutiny and OSMB.</p> <p>Participated in MHCLG events and national working group of local authority representatives.</p> <p>Attend MHCLG regional preparedness workshop for Chief Officers.</p> <p>Formed Brexit Project Board to take forward preparedness actions. Allocated contingency funding towards community cohesion, civil contingencies, communications, project management, and procurement and citizen services. Identified other areas of potential threat which may require access to contingency funding.</p> <p>Ring-fenced £250k from reserves for contingency/preparedness, complementing national funding of £210k.</p> <p>Set Terms of Reference for a tactical Brexit Coordination Group, to manage any acute 'day one' issues. Revised Duty Senior Management rota over potential Exit Day dates to ensure prompt access to Executive Director funding decisions under delegated powers.</p> <p>Provided regular updates to Statutory and Policy Board, Cabinet Board and Overview and Scrutiny Management Board. Provided weekly written update to all councillors.</p> <p>Provided frequently asked questions and other information products to colleagues, councillors and partners.</p>	↔	4	5	20	<p>Activate Brexit Coordination Group as a Tactical level group to manage immediate issues relating to Brexit.</p> <p>Implement actions identified through No Deal Brexit Scenario Assessment with oversight of Brexit Project Board.</p> <p>Continued internal Brexit Project Board to oversee BCC preparedness and respond with agility to changing circumstances.</p> <p>Implement shared city-wide actions agreed by Bristol Brexit Response Group.</p> <p>Continued monitoring of external environment and government relations.</p> <p>Continue engagement with all relevant government departments and partners to ensure sectoral/organisation risks are communicated and mitigations proactively suggested.</p> <p>Preparing city-wide communications campaigns, with a particular focus on community cohesion.</p>	3	5	15
Risk Owner: Head of Paid Service.	Action Owner: Director Policy, Strategy and Partnerships	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

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Corporate risk performance summary for open risks

The risks are set out by the highest risk rating first in the Quarter 4 January – March 2019

Page	Risk ID	Risk	Risk Owner	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	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
23	CRR27	Capital Transport Programme Delivery	Interim Executive Director Growth and Regeneration									3x7=21	New
23	CRR28	Instability of Housing's new IT (Replaces CRR20)	Interim Executive Director Growth and Regeneration									3x7=21	New
22	CRR26	ICT Resilience (Previously IT infrastructure CRR2)	Director Digital Transformation							3x7=21	New	3x7=21	↔
1	CRR1	Long Term Commercial Investments and Major projects Capital Investment	Interim Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer	4x7=28	↔	3x7=21	↑	3x7=21	↔	3x7=21	↔	3x7=21	↔
2	CRR3	Asbestos Management	Head of Paid Service and CLB	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔
3	CRR4	Corporate Health, Safety and Wellbeing	Head of Paid Service and CLB	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔
6	CRR7	Cyber-Security(Previously Cyber-Attack)	Senior Information Risk Owner (SIRO)	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x7=21	↓	3x7=21	↔
11	CRR13	Financial Framework and MTFP	Director of Finance (Section 151 Officer)	2x7=14	↔	2x5=10	↑	2x5=10	↔	2x5=10	↔	3x5=15	↓
20	CRR24	Procurement and contract management compliance	Executive Director Resources and Director of Finance (Section 151 Officer)							3x5=15	New	3x5=15	↔
21	CRR25	ICT Line of Business (LOB) (Previously IT infrastructure CRR2)	Director Digital Transformation							3x5=15	New	3x5=15	↔
16	CRR19	Tree Management	Head of Paid Service					3x5=15	New	3x5=15	↔	3x5=15	↔
4	CRR5	Business Continuity and Council Resilience	Interim Executive Director Growth and Regeneration	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x5=15	↑	3x5=15	↔
17	CRR21	Information Governance (Replaces CRR14)	Senior Information Risk Owner (SIRO)	2x7=14	↔	2x5=10	↑	2x5=10	↔	3x5=15	↓	3x5=15	↔
5	CRR6	Fraud and Corruption	Executive Director Resources and Director of Finance (Section 151 Officer)	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔
15	CRR18	Failure to deliver 2000 Homes per annum by 2020.	Interim Executive Director Growth and Regeneration					2x5=10	New	2x5=10	↔	2x7=14	↓
19	CRR23	Better Lives Programme	Executive Director, Adults, Children and Education							2x7=14	New	2x7=14	↔
7	CRR9	Safeguarding Vulnerable Children	Executive Director, Adults, Children and Education	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔
8	CRR10	Safeguarding Adults at risk with care and support needs (Previously Safeguarding Vulnerable Adults)	Executive Director, Adults, Children and Education	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔
9	CRR11	BCC Infrastructure Delivery	Director of Finance (Section 151 Officer) and Interim Executive Director Growth and Regeneration	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔
10	CRR12	Failure to deliver suitable planning measures, respond to and manage emergency events when they occur. (Previously Civil Contingencies and Council Resilience)	Interim Executive Director Growth and Regeneration	3x7=21	↔	2x7=14	↑	2x7=14	↔	2x7=14	↔	2x7=14	↔

Corporate risk performance summary for open risks

The risks are set out by the highest risk rating first in the Quarter 4 January – March 2019

Page	Risk ID	Risk	Risk Owner	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	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
13	CRR16	Leadership	Head of Paid Service and CLB	4x5=20	↔	2x5=10	↑	2x5=10	↔	2x5=10	↔	2x5=10	↔
18	CRR21	Partnerships Governance	Head of Paid Service					3x5=15	New	3x5=15	↔	3x3=9	↑
14	CRR17	Strategy Management	Head of Paid Service	2x7=14	↔	2x7=14	↔	1x7=7	↔	1x7=7	↔	1x7=7	↔
12	CRR15	Financial Deficit	Director of Finance (Section 151 Officer)	2x5=10	↔	2x5=10	↔	2x5=10	↔	1x5=5	↑	1x5=5	↔

Corporate risk performance summary for closed risks

The risks are set out by the highest risk rating first in the Quarter 4 January – March 2019

Status	Risk ID	Risk	Risk Owner	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	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
Closed	CRR14	Introduction of the General Data Protection Regulation (GDPR)	Senior Information Risk Owner (SIRO)	2x7=14	↔	2x5=10	↑	Closed (Replaced by CRR21)					
Closed	CRR2	IT Infrastructure	Director Digital Transformation	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔	Closed (Replaced by CRR24 and 25)	
Closed	CRR20	Housing IT Programme 2018	Interim Executive Director Growth and Regeneration					4x5=20	New	2x5=10	↑	Closed (Replaced by CRR28)	
Closed	CRR8	Service Review	Head of Paid Service									2x5=10	Closed

Corporate Risk Performance Summary for Opportunity Risks

The risks are set out by the highest risk rating first in the Quarter 4 January – March 2019

Page	Risk ID	Risk	Risk Owner	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	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
24	OPP2	Corporate Strategy	Head of Paid Service					3x5=15	New	4x7=28	↑	4x7=28	↔
24	OPP1	One City	Head of Paid Service					3x5=15	New	4x5=20	↑	4x5=20	↔
25	OPP3	Devolution	Head of Paid Service					3x5=15	New	3x5=15	↔	3x5=15	↔
25	OPP4	Brexit	Head of Paid Service					1x5=5	New	1x5=5	↔	1x5=5	↔

Corporate Risk Performance Summary for External and Civil Contingency risks

The risks are set out by the highest risk rating first in the Quarter 4 January – March 2019.

Page	Risk ID	Risk	Risk Owner	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	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
27	BCCC2	Brexit	Head of Paid Service			4x3=12	↔	4x3=12	↔	4x5=20	↓	4x5=20	↔
26	BCCC1	Flooding	Interim Executive Director Growth and Regeneration			3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔

Risk Scoring Matrix

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)						
Opportunity Likelihood	Almost certain	4	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain	
	Likely	3	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)	3	Likely	
	Unlikely	2	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)	2	Unlikely	
	Rare	1	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)	1	Rare	
			1	3	5	7	7	5	3	1			
			Minor	Moderate	Major	Critical	Exceptional	Significant	Modest	Slight			

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Threat Level	Opportunity Level	Level of risk	Action Required
1-4	1-4	Low	May not need any further action/monitor at service level.
5-12	5-12	Medium	Action required, manage and monitor at the Directorate Level.
14-20	14-20	High	Must be addressed - If Directorate level risk consider escalating to the Corporate Risk Report, if Corporate consider escalating to the Cabinet Lead.
28	28	Significant	Action required - escalate (if Directorate level risk, escalate to the Corporate Level, if Corporate bring to attention of the Cabinet Lead to confirm actions to be taken.

Figure 5. Risk Management Action Table

Current and Tolerance risk ratings: The ‘Current’ risk rating for both threats and opportunities refer to the current level of risk taking into account any strategies to manage risk - 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.

Positive Risks (Opportunities): Where the risk is an opportunity, a cost benefit analysis is required to determine whether the opportunity is worth pursuing, guided by the score for the matrix, e.g. an opportunity with a score of 28 would be pursued as it would offer considerable benefits for little risk.

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 <i>(Including developing commercial enterprises)</i>	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.